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A Comparison of Institutional Climates in Higher Education in the United States and South Africa

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The University of Southern Mississippi

A COMPARISON OF INSTITUTIONAL CLIMATES IN HIGHER EDUCATION IN THE UNITED STATES AND SOUTH AFRICA

by

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Abstract of a Dissertation
Submitted to the Graduate School
of The University of Southern Mississippi
in Partial Fulfillment of the Requirements
for the Degree of Doctor of Philosophy

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ABSTRACT

A COMPARISON OF INSTITUTIONAL CLIMATES IN HIGHER EDUCATION IN THE UNITED STATES AND SOUTH AFRICA

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Increasing opportunities and access of historically underrepresented populations to higher education in both the United States and South Africa have proved challenging due to institutional climates that are perceived as unwelcoming and unsupportive. The purpose of this study was to investigate factors relating to institutional climates to uncover social constructs that positively and negatively impact the institutional environment. Transformational leadership serves as the theoretical framework for this study.

Data results from institutional climate studies administered higher education institutions in the United States and South Africa were analyzed and compared. Collegiality and collaboration; communication; diversity and equity; governance and strategy; harassment and discrimination; and organizational environment were the primary social constructs measured and evaluated at each institution. Results demonstrate differences in the perceptions of faculty and academic staff based on institution, race, gender, and academic rank. Findings provide academic leaders with cross-national strategies for creating inclusive academic environments and replicating excellence.

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CHAPTER I

INTRODUCTION

Promoting diversity in higher education has become increasingly central to its transformation. Policies ending discriminatory practices and legislation promoting equity are contributors to rapid rates of change in the racial compositions of higher education institutions. In 2009, 18% of Blacks, Hispanics, Asians or Pacific Islanders, or American Indians or Alaska Natives combined were categorized as professionals classified as executive, administrative, and managerial staff at higher education institutions in the United States. Among the faculty, seven percent were Blacks, six percent Asians or Pacific Islanders, four percent Hispanics, and one percent American Indians or Alaskan Natives (National Center for Education Statistics, 2011). Seventy-five percent of all faculty members in higher education were classified as White.

Employment practices in South African higher education prior to 1994 reflected an overwhelming apartheid division of labor (Reddy, 2004). Academic staff and senior administrative staff were overwhelmingly male and White, including at higher education institutions reserved for Blacks. Blacks and women predominantly filled service or lower level positions. Forty-one percent of all permanent academic staff in higher education in South Africa was classified as Black and 43% were classified as women by 2008. Service staff - those not engaged in supervisory or administrative functions linked to an office - comprised of 97% Blacks. Women were 62% of the permanent administrative staff (Department of Education, 2010).

In the United States and South Africa, similar trends are evident in professional schools of higher education such as medicine. Growing evidence suggests that increasing the diversity among the medical student body and faculty membership in the United

States would have a major positive impact on the healthcare system in the United States (Nivet, 2008). Historically, the need for diversity in medical schools has been portrayed as a contender for challenging excellence in education, teaching, research, and patient care.

In 2010, the Association of American Medical Colleges (AAMC) reported the distribution of faculty by race and ethnicity of accredited allopathic medical schools in the United States. Whites comprised of 63% of the total number of faculty, Blacks 3%, Asians 13%, Hispanics 4%, and 15% are unknown. Men comprised of 64% of the medical school faculty in the United States (AAMC, 2010). In South Africa, there are eight medical schools. All institutions are government funded. Five of the medical schools are historically White universities (HWUs) and the remaining three were restructured in 2005, as a result of campus mergers. Of the medical schools in South Africa, the University of Cape Town (UCT) is the oldest medical school established in 1912. The University of Cape Town is a historically White and English speaking university, along with the University of Wiswaterstrand. The University of Stellenbosch, the University of Pretoria, and the University of the Free State are historically White and Afrikaans speaking universities. Historically Black and medium English speaking universities include the University of KwaZulu-Natal, the University of Limpopo, and Walter Sisulu University. According to the Council on Higher Education (2011), Whites and males continue to dominate academic staff in South Africa.

Embracing Medical Education

Abraham Flexner, an American educator and researcher of The Carnegie Foundation for the Advancement of Teaching, explored the relationship between higher education and medical education in 1910. Flexner produced a critical report of an

investigation of medical schools throughout the United States and Canada. The basis of this research was to advance understanding of the relations in which colleges and universities had with associated professional schools such as schools of medicine, law, and theology. Flexner discovered great differentiations regarding institutional autonomy, academic standards, and accountability among medical schools in the United States in the early 1900s. He reported that medical schools were frail, producing uneducated and ill-trained medical practitioners, without regard for public welfare or their interest. Other discoveries included the low incomes of medical schools negatively impacting the quality of instruction; unprepared youth enrolling in medical schools; and disconnect between hospitals as institutions for teaching or training. In summary, the report strongly suggested that those trained in medical schools should be grounded in the fundamental sciences upon which medicine rests (Flexner, 1910). These discoveries led to the transformation of higher education institutions to adopt medical education for strengthening pedagogical and chronological entry for enrollment. Building stronger ties to scientific curricula and clinical training was also a primary goal of the emergence. The catalytic report recommended that all medical school entrants receive solid training and that more clinicians should be appointed to the faculty for securing authentic training for medical students (Seggie, 2010). Flexner also suggested that the inclusion of women and negros (as referenced in the report) in medical education should be granted.

During his investigation, Flexner (1910) identified women as important to certain medical specialties in general medicine. Flexner also recommended the continued development of medical schools, specifically designed for negros, to take care of this population. In his report he states:

> "The practice of the negro doctor will be limited to his own race, which in turn will be cared for better by good negro physicians than by poor white ones. But the physical well-being of the negro is not only of moment to the negro himself. Ten million of them live in close contact with sixty million whites. Not only does the negro himself suffer from hookworm or tuberculosis; he communicates them to his white neighbors, precisely as the ignorant and unfortunate white contaminates him". (p. 180)

The views of Flexner were prophetic with regard to medical education reform undertaken around the world to prepare doctors for the 21st century. South African medical schools adopted the *Flexnerian* model, as did other medical schools globally. Medical schools in South Africa were forced to restructure due to the lack of quality training, limited resources such as teaching hospitals, and apartheid policies. The original curriculum model remained unchanged for nearly a century and characterized medical education in South Africa (Seggie, 2010). There was a distinct separation of basic sciences from clinical clerkships. Academic staff or faculty members who were once students in the traditional system under apartheid had been conditioned to value that system and to support it. This was a compelling barrier to changing the traditional medical education model. The inertia among academic staff and predominance of the status quo was also challenged by lack of leadership and oversight. Black students were only admitted to medical education programs with special government dispensation.

Unfortunately, Black students were underprepared for medical studies given the legacies of under-resourcing in Black education. Now and more than 100 years later, issues of diversity in higher education and within medical schools remain relevant today. Numerous studies have found that diversity and inclusion, with respect to race and

ethnicity, serve as tools for improving campus climates and educational outcomes. The literature also suggests that greater diversity among faculty and staff improves the learning environment and ensures a more comprehensive research agenda. Theories of leadership continue to undertake evaluation and research, as higher education restructuring is constantly assessed and refined.

Statement of the Problem

Leadership is a central issue in the fields of education, political science, and history. The roles, behaviors, and traditions of leadership in higher education are affected by the broader social and political structures. University leadership in the higher education change process in Africa is still very mixed due to government intervention and repression. Not all university leaders in Africa have served their countries well by standing up for autonomy, freedom, and justice (Hayward, 1997). The courage of South African people standing up against apartheid greatly impacted change and transformation of higher education in this country. In the United States, the struggle for equality is often placed on the role of political forces and governments as drivers in the higher education structure.

In 2005, the United States Secretary of Education formed the National Commission on the Future of Higher Education to examine issues of access, affordability, accountability, and quality of colleges and universities in the United States (Duderstadt, 2009). One of the conclusions of the Commission was preparation for confronting an increasingly diverse population. The increasing diversity of the American population with respect to culture, race, ethnicity, and nationality is one of the greatest strengths and most serious challenges as a nation (Duderstadt, 2009). The Commission noted that higher education plays an important role in identifying and developing talents of our

citizens, however our society continues to be hindered by the segregation and non-assimilation of minority and immigrant cultures. Longstanding programs such as affirmative action and equal opportunity aimed at expanding access in higher education for underrepresented populations and diversifying campuses and workplaces continue to be challenged in courts and through referenda.

There is much cited research that provides excellent systematic information regarding the historical relationships between governments and higher education. Institutional leaders of historically disadvantaged institutions (HDIs) must assess how institutions globally are effectively leading transformation efforts. Specifically, the approaches of higher education leaders in the transformation process from the developed world compared to those of developing countries.

Purpose of the Study

The purpose of this study is to investigate factors relating to institutional climates in higher education. The research will compare social constructs that impact institutional climates between higher education institutions in the United States and South Africa to answer the primary research questions:

1. What are the similarities and differences in the levels of engagement of institutional leaders and academic staff for changing institutional culture post-segregation in the United States versus post-apartheid in South Africa?
2. What cross-national strategies are used by institutional leaders involved in transformation efforts at higher education institutions for influencing change?

The study addresses a host of factors relevant to the transformation agenda in higher education. Such factors include decision-making and leadership strategies to redress inclusive practices among employees with respect to race, gender, and other

variables identifiable with improving campus climates. The research will compare accepted policies, engagement practices, and programs in place for diversifying higher education institutions. Higher education institutions with similar histories, legacies of racial and gender inequalities, and comparable governing structures will serve as case studies.

Case study research uses a variety of evidence from different sources, such as documents, artifacts, interviews, and observations beyond the range of sources of evidence available in a historical study. The inclusion of information from multiple sources is a major strength for this research. Historical and secondary data from previous research studies will provide a deeper understanding of the issues faced by institutional leaders for distinguishing their role in the transformation process. Secondary data analysis is the usage of data collected by other researchers. It is used in national samples, longitudinal analyses, or unique populations in which high quality data has been obtained (Lekies, 1998). Content analysis will be conducted for all quantitative and qualitative data retrieved from the results of the research studies from each institution. Qualitative content analysis is used to analyze text data and classify the data into an efficient number of categories representing similar meanings (Hsieh & Shannon, 2005).

Significance of the Study

Increasingly, social, educational, cultural, linguistic, religious, and racial diversity of South African society is finding expression within institutions of higher education (Cross, 2004). Similarly, popular concepts and challenges in American higher education discourse have also been part of an ongoing debate among South African higher education institutions. The potential of organizational change is unleashed when individuals have a common vision of the future (Rowley & Sherman, 2001; Williams &

Clowney, 2007). Senior leadership helps to launch the change process by creating a broad institutional vision and redirecting resources necessary to implement that vision. Only institutional leaders can focus attention and prioritize diversity related initiatives in a manner sufficient for institutional changes to be deep and transformative (Cox, 2001; Loden, 1996; Thomas, 2004; Williams, 2006; Williams & Clowney, 2007).

Research continues to identify institutional leaders as primary actors in transformation processes or as change agents but offers limited exploration on approaches for influencing responses to changing institutional culture. Furthermore, limited research demonstrates cross-national leadership approaches in higher education transformation. This study is significant because there is paucity in academic research studies comparing differences in academic leadership towards transformation in different countries. Findings will build upon theories of leadership and will be potentially added to organizational literature that could help academic leaders create model institutions for replicating excellence and inclusion.

Definition of Terms

It is important to define the following terms and acronyms used for the purpose of this study. Commonly used terms in the United States differ from those used in South Africa and have different contextual meanings.

Related terms and acronyms commonly used in the United States

DOE - Department of Education

HBCU - Historically Black Colleges and Universities

TWI - Traditionally White Institutions

American Indian or Alaska Native - A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.

Asian - A person having origins in any of the original people of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

Black or African American - A person having origins in any of the black racial groups of Africa. Terms such as Haitian or Negro can be used in addition to Black or African American.

Campus Climate - Prevailing attitudes, standards, or environmental conditions that exist within an institution of higher education.

Cross-national - Relating to more than one culture. Often refers to practices (such as communication, counseling, conflict resolution) that deal with more than one culture and incorporate the belief- and value-systems of the cultures involved.

Culture - Shared experience among members of a given group, family, tribe or community; learned languages, values, belief systems, behavioral patterns, and religious practices that are passed on to younger members.

Diversity - Psychological, physical, and social differences that occur among any and all individuals, such as race, ethnicity, nationality, religion, economic class, age, gender, sexual orientation, mental and physical ability, and learning styles. A diverse group, community or organization, is one in which a variety of social and cultural characteristics exist. Diversity is quantitative. It describes the various constituents of a group. Most obviously, it is defined by race, gender, and culture (or ethnicity). It also includes class, religion, disability, sexual orientation, socioeconomic status, etc.

Engagement - Developed as early as 1990 by William Kahn as "the harnessing of organization members to their work roles; in engagement, people employ and express themselves physically, cognitively, and emotionally during role performances".

Inclusion - A core element for successfully achieving and sustaining diversity. It refers to active, intentional, and ongoing engagement with diversity and is achieved through creating an institutional culture that fosters belonging, respect, and value for all.

Hispanic or Latino - A person of Cuban, Mexican, Puerto Rican, Cuban, South or Central American, or other Spanish culture or origin, regardless of race. The term, Spanish origin, can be used in addition to Hispanic or Latino.

Minority - A term often used in the United States to refer to persons who have historically been in the demographic minority when compared to whites of European descent.

Native Hawaiian or Other Pacific Islander - A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

Perception - Intuitive recognition, to discern, envision, or understand.

Race - A grouping of human beings based on a shared geographic dispersion, common history, nationality, ethnicity, or genealogical lineage. Race is also defined as a grouping of human beings determined by distinct physical characteristics that are genetically transmitted.

White - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

Related terms and acronyms a commonly used in South Africa

CHE - Council on Higher Education

EEA - Employment Equity Act

HAIs - Historically Advantaged Institutions

HBUs - Historically Black Universities

HDIs - Historically Disadvantaged Institutions

HEMIS - Higher Education Management Information System

HWIs - Historically White Institutions

HWUs - Historically White Universities

NCHE - National Commission on Higher Education

Accountability - The concept of accountability refers to the relations of power between the conferee and the conferred. Though initially it was used in relation to elected public officials, it has increasingly been applied to non-elected officials including judges and office bearers in higher education institutions. Accountability concerns relations of power since it seeks to establish an obligation by those who hold power, to render account to those on whose account it is held.

Blacks or Africans - The majority of the population of indigenous ancestry, culturally and linguistically, but not homogenous.

College - A public or private further education and training institution that is established, declared, or registered under the Further Education and Training Colleges (FETC) Act, but does not include a school offering further education and training programs or a college under the authority of a government department other than the Department of Education.

Coloureds - People of mixed race descended from slaves brought in from East and Central Africa, the indigenous Khoisan who lived in the Cape at the time, Bantus, Whites (mostly the Dutch/Afrikaner and British settlers), as well as an admixture of Javanese, Malay, Indian, Malagasy, and Asian blood. The majority speak Afrikaans.

Faculty - In higher education, represents a specific school with related academic majors and degrees offered. Examples include Faculty of Health Sciences or Faculty of Law.

Indians - Those of Indian descent, indentured workers brought in the nineteenth century to work on the sugar plantations of the eastern coastal area then known as Natal.

Tecknikons - A non-university higher education institution focusing on vocational education.

Universities - There are three different categories of universities that make up the higher education system in South Africa. The traditional universities in South Africa offer a number of degree courses on humanities and science. The technology universities of South Africa are well known for their professional courses. South African comprehensive universities come with diverse range of technical and theoretical degree courses.

Whites - Descendants from many ethnic groups such as Dutch, Flemish, Portuguese, Norwegian, German, Greek, French, English, Polish, Irish, Italian, Scottish and Welsh. Culturally and linguistically, they are divided into the Afrikanners who speak Afrikaans and English-speaking groups, many of whom are descended from British and Irish immigrants.

Organization of the Study

This study is presented in five chapters. Chapter I introduces the background of the study. It included the study rationale, research questions, and its significance. Definitions of terms are also presented in this chapter.

Chapter II provides a thorough review of the literature. Theoretical frameworks of leadership developed by Robert J. House and James M. Burns are highlighted in this

chapter. The chapter also includes descriptions of studies designed to improve perceptions about diversity initiatives and interventions. Case studies are presented on a higher education institution in South Africa and a higher education institution in the United States.

Chapter III discusses the methodology, descriptions of the populations under study, the research design, research hypotheses, data analysis, and methodological rationale. This chapter describes how the researcher uses content analysis for analyzing data from independent climate studies.

Chapter IV covers data collection methods and data analysis. Summaries of quantitative and qualitative data from the two climate studies are included. Data is compared by survey themes, race, gender, and job role.

Chapter V offers the summary and conclusion based on research findings. Recommendations for further research exploration complete this chapter.

Relevant appendices and a bibliography are also presented in this dissertation.

CHAPTER II

REVIEW OF RELATED LITERATURE

Higher education institutions share common purposes and similar problems globally. Governance and public doubt are forces of change requiring higher education institutions to restructure their environments (Green & Hayward, 1997). Challenges are multiplied in developing countries compared to those of the developed world. Higher education is as of equal or greater value to resources such as primary and secondary education, health care, or clean water in a developing country (Hayward, 2008). Yet it remains unclear in the literature how the impact of higher education leadership for reframing institutional change relate cross-nationally. This reframing of the higher education agenda is known as transformation.

To study leadership is to go beyond disciplinary and cultural boundaries, as leaders are products of different times and cultures (Green, 1997). Leadership entails the influencing of others in certain situations. Traditional leadership research has focused on leadership effectiveness while diversity leadership research examines impact on leadership emergence, development, appraisal and effectiveness controlling for centrally independent or moderating variables (Chen & Velsor, 1996).

Cooperation, governance, and strategy are integral to organizational change. The following chapter provides the theoretical framework of leadership in the transformation of higher education. Higher education institutions in the United States and South Africa will serve as illustrative case studies for examining similarities and differences of leadership engagement during transformation processes.

Historical Context of Transformation of Higher Education in South Africa

South Africa is often associated with political conflict and divisions among racial and class lines. The rivalry between the British colonists and Afrikaners spawned the ideology of racial segregation, legalizing it between 1948 and 1994 to what is known as apartheid. This conflict began after the arrival of British settlers in the early 1800s that introduced education policies reflective of the interests of the British government. British policies towards the education of Africans attempted to overshadow the educational objectives of the Dutch since their arrival in 1652. The Dutch created the first school in 1658 for children of enslaved Africans to make them more valuable to the economic interests of the Dutch. The other primary objective was to indoctrinate the students with the belief that the Dutch culture was superior to their own culture. The second school created by the Dutch was in 1663 for children of White colonists and a few free Africans (Mabokela, 2000). Concerns by the Dutch Reformed Church about the mixing of social classes led to the creation of a separate school in 1685 for enslaved children. This separation began the foundation for class distinctions to be presented in racial terms.

British policies emphasized English as the medium of instruction in schools and "Christianizing Africans" rather than educating them (Mabokela, 2000, p. 17). This imposition sparked a long struggle between the Dutch and the British. By the late 1800s, there were more explicit differentiations of education among color lines. The first definite use of racial categories emerged in the 1904 census. Government expanded and formalized education for White students following the First World War while under-funded missionary schools which carried out the education for Black Africans and Coloureds.

The emergence, roles, and culture of higher education in South Africa is linked to the history of White, political, economic, and cultural domination guided by inequalities of power perpetuated during colonial and apartheid rule (Reddy, 2004). Under this ruling, policies created a very complex and discriminatory higher education system, generating racially divided institutions such as universities, technikons, and various types of colleges.

Between 1916 and the late 1980s, the higher education system in South Africa included 36 higher education institutions comprising of 21 universities and 15 technikons. After the democratic transition, government mandated mergers reduced the total number to 23 new institutions. This restructuring of the higher education landscape in South Africa resulted in 11 universities, six universities of technology, and six comprehensive institutions (see Table 1). State policies, unequal funding, racially skewed student and faculty compositions, institutional histories, and powers of the broader society impacted capacities of these institutions labeling them "historically advantaged and historically disadvantaged" universities or tecknikons (Reddy, 2004, p. 11).

Before proceeding, it is important to describe the complexities in which these higher education institutions functioned within their own cultural framework and value systems, as a result of the *apartheid educational model*. The "university" in South Africa is described as an autonomous institution organized based on geographic locale and heritage, with scientific and teaching activities as priority thresholds (Raju, 2004, p. 2). During apartheid, universities had no power other than that prescribed by the government. Not until the legislation of Act 45 of 1959 called the Extension of the University Education Act marked the establishment of universities for Africans,

Coloureds, and Indians (Raju, 2004). *Technikons* are rooted in apprenticeship training, offering diplomas and degrees in technical fields. These institutions did not become a part of the higher education sector until 1997 and as a result of the Higher Education Act (Act 101 of 1997). Other educational and degree granting institutions include comprehensive universities. The development of these *new institutions* resulted from mergers of *technikons* with traditional universities and offer programs and degrees in the traditional arts, science disciplines, a specific field or profession. Terms or abbreviations commonly used to identify these institutions are historically White universities (HWUs); historically Black universities (HBUs); historically White institutions (HWIs); historically Black institutions (HBIs); historically White technikons (HWTs); and historically Black technikons (HBT). The nature of these institutions is distinguished by traditionally operating on the basis of predominate enrollment by race, prior to end of apartheid.

Table 1

Higher Education Institutions in South Africa

	Institution	Founded	Classification
Traditional Universities	University of Cape Town	1829	HWU
	University of Stellenbosch	1866	HWU
	University of Witwatersrand	1896	HWU
	Rhodes University	1904	HWU
	University of Free State	1904	HWU
	University of Pretoria	1908	HWU
	University of Fort Hare	1916	HBU
	University of the Western Cape	1959	HBU
	North-West University*	2004	HBU
	University of KwaZulu-Natal*	2004	HBU
	University of Limpopo*	2005	HBU
Universities of Technology	Vaal University of Technology	1966	HWT
	Mangosuthu University of Technology	1979	HBT

Table 1 (continued).

	Central University of Technology	1981	HBT
	Durban University of Technology*	2002	HBT
	Tshwane University of Technology*	2004	New
	Cape Peninsula University of Technology*	2005	HWT
Comprehensive Universities	University of Zululand	1960	HBU
	University of Venda	1982	HBU
	University of South Africa	2004	HWU
	Nelson Mandela Metropolitan University*	2005	HBU
	University of Johannesburg*	2005	HWU
	Walter Sisulu University*	2005	HBU

Note: * Merged institution.

Similar to the United States, higher education in South Africa focuses on the functions of teaching and research that prepares individuals to take up a variety of roles in society (Raju, 2004). Historically, higher education institutions in South Africa also had great levels of autonomy in financing, structure, curricula (except for technikons that had a centralized syllabus), and leadership with much of the governance left up to councils, rectors, vice chancellors, and senates (Hayward, 1997). Challenges regarding the autonomy of these institutions would not come until after the first democratic election in 1994 and under proclamation through the National Commission on Higher Education (NCHE).

After his successful election in 1994, South African President Nelson Mandela formed the National Commission on Higher Education (NCHE) in 1995 for restructuring the higher education system. NCHE acknowledged the legacy of apartheid driving inequalities, imbalances, and restraints. The Commission identified six broad principles as the framework for developing policies for higher education transformation. Subsequently laws were created for enacting this process. These principles are:

1. The principle of equity: this demands that the distribution of the benefits of higher education should be impartial and fair.
2. Democratization: this has to do with the arrangements under which decisions are made on policies and priorities, and on the implementation of plans and programs.
3. Development: higher education contributes to the mobilization of resources through the production and the application of knowledge, the building of human capacity and the provision of learning opportunities.
4. Quality: academic and educational standards, both in the sense of minimum expectations and requirements relating to ideals of excellence that should be striven for.
5. Academic freedom/autonomy: neither of these occurs in absolute or unqualified form.
6. Effectiveness/efficiency: the first of these demands the continuous review of aims and objectives in light of changing needs. The latter demands continuous improvement of the methods and instruments needed to achieve aims and objectives. (NCHE, 1996)

One of the earlier roles of the NCHE was to answer the urgency of institutional leaders from South African historically disadvantaged institutions (HDIs) and technikons. NCHE examined institutional autonomy, as apartheid practices were forecasted to revive, if not completely abolished (Reddy, 2004). Institutional leaders were seeking public accountability. NCHE engaged in exhaustive efforts for developing preliminary reports, soliciting public response, and coordinating with taskforces and committees to redress racial imbalances.

The *Green Paper on Higher Education Transformation (1996)* was published by NCHE which outlined comprehensive plans and areas of critical policy needs (Lindsay, 1998). This report was followed by the *Education White Paper 3: A Programme for Higher Education Transformation (1997)*. This paper stressed that higher education transformation must be planned, governed, and funded as a single national coordinated system in order to overcome the fragmentation, inequalities, and inefficiencies of the past (Raju, 2004). These frameworks and proposals were legislated through the Higher Education Act (Act 101 of 1997), also forming the Council of Higher Education (CHE) to lead the transformation process. As a result, post-apartheid legislation deracialized universities and other institutions in the higher education sector. Momentum was now gained for significant reform. For the purposes of this research, racial classification terms used in this section are not that of the researcher. Select racial classification terms used are historical and specific to the South African culture. For example, African refers to people of indigenous ancestry. Coloureds are South Africans of mixed ancestry. Indians or Asians are people of Indian descent. Lastly, Whites are people of European descent (Mabokela, 1998).

Prior to the transition of democracy instituting majority rule, nine percent of Black Africans of college age were enrolled in higher education although they made up approximately 77% of the population. Sixty percent of college age Whites were enrolled even though they comprised only of 11% of the population (Hayward, 2008). Access to major universities was limited to White students while African, Coloured, and Indian or Asian students were restricted to attend universities designated for students of color. Policies of the new South Africa ensured the protection of the fundamental rights of all citizens, especially in higher education. This involved the emergence of South African

universities from inherited struggles. Constituencies of Black students, staff, and political leaders challenged the traditions and authority of historically White institutions (HWIs). Lastly, racial and ethnic compositions of South African universities began to change beyond recognition (Hugo, 1998). Table 2 provides enrollment data of the 23 higher education institutions in South Africa.

Table 2

Enrollment of South African Public Higher Education Institutions, 2009

	Institution	Total Enrolled	% Black	% Female
Traditional Universities	University of Cape Town	23,787	54%	50%
	University of Stellenbosch	25,693	32%	52%
	University of Witwatersrand	29,234	73%	53%
	Rhodes University	7,012	57%	59%
	University of Free State	27,241	67%	60%
	University of Pretoria	55,734	71%	63%
	University of Fort Hare	10,016	96%	55%
	University of the Western Cape	16,203	79%	43%
	North-West University*	50,589	65%	67%
	University of KwaZulu-Natal*	38,864	93%	65%
	University of Limpopo*	16,299	99%	53%
Universities of Technology	Vaal University of Technology	19,407	96%	47%
	Mangosuthu University of Technology	9,680	100%	52%
	Central University of Technology	23,787	92%	60%
	Durban University of Technology*	24,026	95%	50%
	Tshwane University of Technology*	52,688	94%	50%
	Cape Peninsula University of Technology*	30,958	60%	53%
Comprehensive Universities	University of Zululand	13,291	100%	66%
	University of Venda	11,125	100%	53%
	University of South Africa	263,559	80%	71%
	Nelson Mandela Metropolitan University*	22,107	86%	60%
	University of Johannesburg*	49,315	81%	55%
	Walter Sisulu University*	25,356	100%	53%

Note: From "Education Statistics in South Africa, 2009", 2010, the Department of Basic Education. In a headcount enrollment, full-time as well as part-time students are counted as units. Percentages averaged by the number of contact students and the number of distance students. Contact students are those who are registered mainly for courses offered in contact mode. Distance students are those who are registered

Table 2 (continued).

mainly for courses offered in distance mode. Black students, for the purpose of this summary table, include Black African, Coloured, and Indian or Asian students. *Merged institutions.

Although much of the development and debate on policies and programs promoting fairness and equality has been central in the United States, other countries have also used similar mechanisms to redress societal inequities. For example, South African affirmative action policies and programs during the apartheid era benefitted poor Whites at the expense of Blacks (Ramphele, 1996; Lindsay, 1998). Whites received access to jobs, housing, and education. White males were also targeted for affirmative action programs with goals for dominance and success within the society. Reform efforts created new policies such as the Employment Equity Act (EEA) (Act No. 55 of 1998) that was legislated to replace these discriminatory practices and achieve equity in the workplace by:

a. promoting equal opportunity and fair treatment in employment through the elimination of unfair discrimination; and
b. implementing affirmative action measures to redress the disadvantages in employment experienced by designated groups, to ensure their equitable representation in all occupational categories and levels in the workforce.

The origin of the Employment Equity Act is the equivalent to affirmative action as a means of corrective action to employ previously marginalized racial groups such as Blacks, Coloureds, Asians, and Indians in South Africa. This law was a large contributor to the transformation of apartheid to democracy in South Africa, including transformation in higher education. Unfortunately, the presence of Blacks, which includes Coloureds, Asians, and Indians, remained limited in various disciplines, faculties, and administrative

structures. This is also true among women of all races and ethnicities in South African universities that were students, faculty, or other professionals.

NCHE noted no major changes in race and gender disparities of staff in South African higher education by 1995. Whites made up 82% of the total academic staff in 1995 while Black Africans accounted for 11% (Reddy, 2004). The under-qualification of staff remained a problem at historically Black institutions (HBIs) and proposed additional burdens faced by historically Black universities in the country. White males also had male dominance in senior management positions at historically Black institutions (HBIs).

Until 2005, public higher education in South Africa employed more men than women (CHE, 2011). By 2007, women were 51% of the total staff at public higher education institutions in South Africa. At traditional universities and comprehensive universities, 52% of all staff was women. At universities of technology, 46% of staff was women. Within job categories, men hold the majority of management and academic jobs while women are in the majority of support professionals and non-professional administration posts (CHE, 2011; HEMIS, 2007) (see Figure 1).

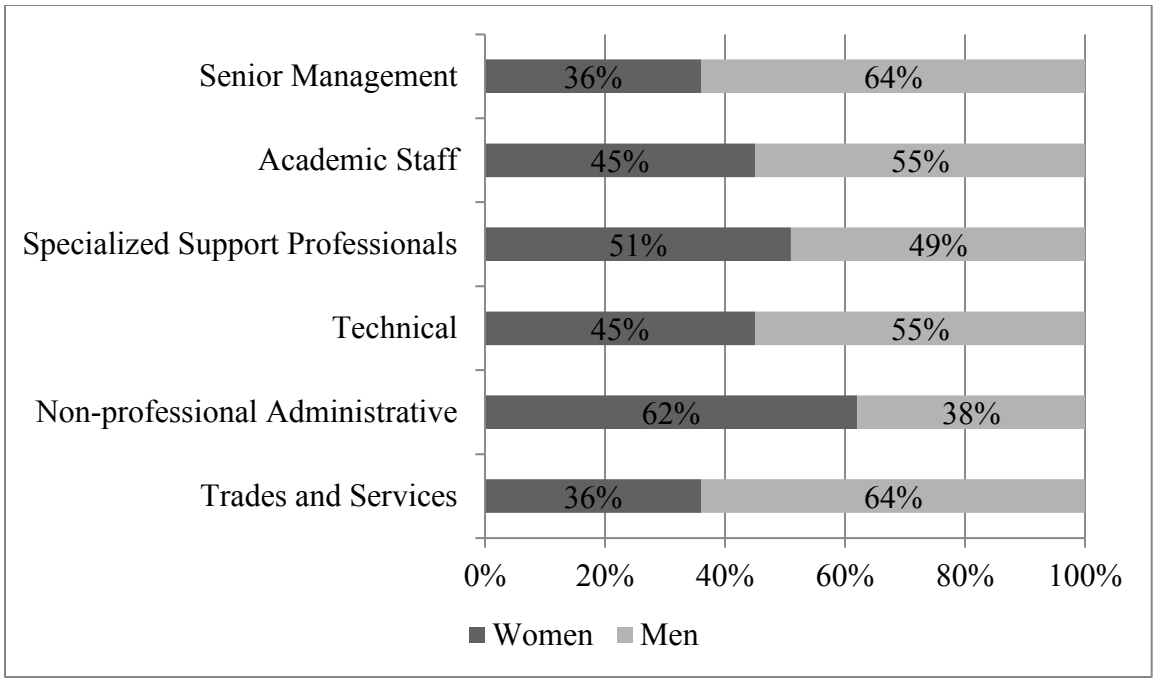

Figure 1. Staff (Headcount) at Public Institutions by Gender and Level of Employment, 2007. Above demonstrates percentages of males and females by job categories in South African higher education institutions. The information was retrieved from the website of the Council on Higher Education (2011), Women in South African Higher Education (http://www.che.ac.za/heinsa/whe/). The data was collected by the Higher Education Management Information System (HEMIS).

Women are underrepresented in senior management positions in higher education in South Africa and are best represented in the universities where they make up 40% of the senior management. Senior management of women is least well represented in universities of technology or technikons where they make up 24%. Women make up 31% of senior management at comprehensive universities. Of the 23 public institutions in South Africa, four have women vice chancellors. Improvement of women in senior management positions in South African higher education is demonstrated in Figure 2. The proportion of women in senior management increased from 18% in 2004 to 36% in 2007 (CHE, 2011; HEMIS, 2007).

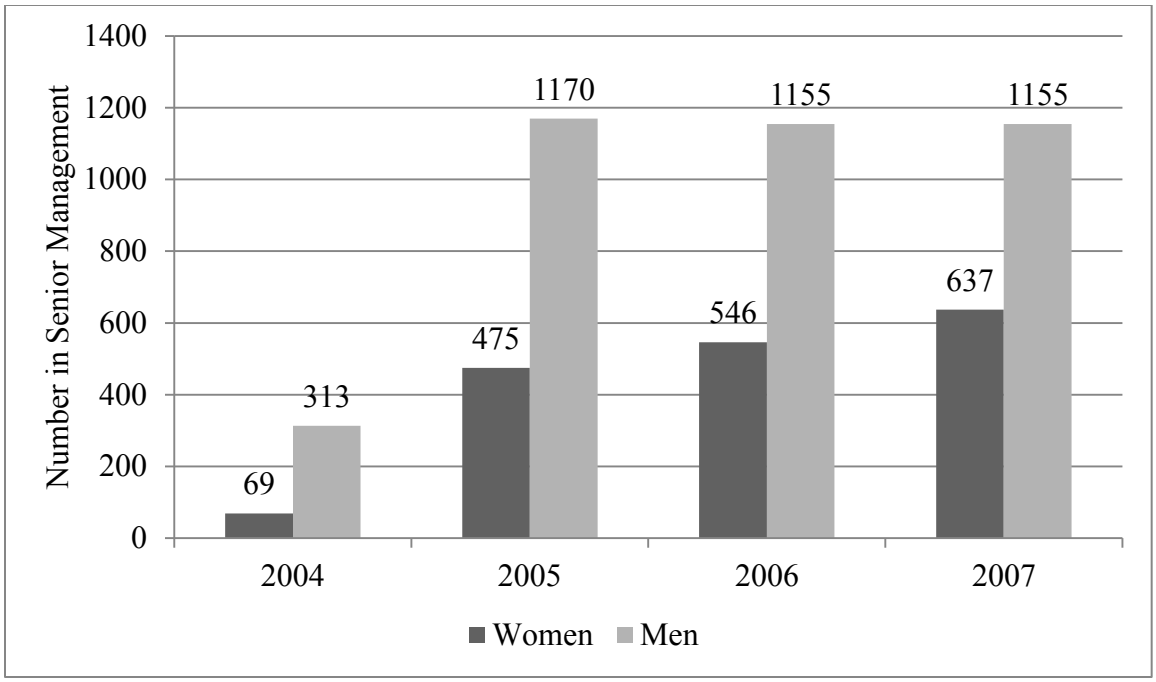

Figure 2. Women in Senior Management at Higher Education Institutions in South Africa, 2004 - 2007. The figure above demonstrates the proportion of males and females in senior management positions from South African higher education institutions. The information was retrieved from the website of the Council on Higher Education (2011), Women in South African Higher Education (http://www.che.ac.za/heinsa/whe/). The data was collected by the Higher Education Management Information System (HEMIS).

In 2007, women made up 43% of the total permanent academic staff in public higher education institutions in South Africa. Comprehensive universities employed more women in academic positions at 45% and universities of technology employed fewer at 42%. The greatest inequity is at the levels of professor and associate professor as shown in Figure 3 (CHE, 2011; HEMIS, 2007).

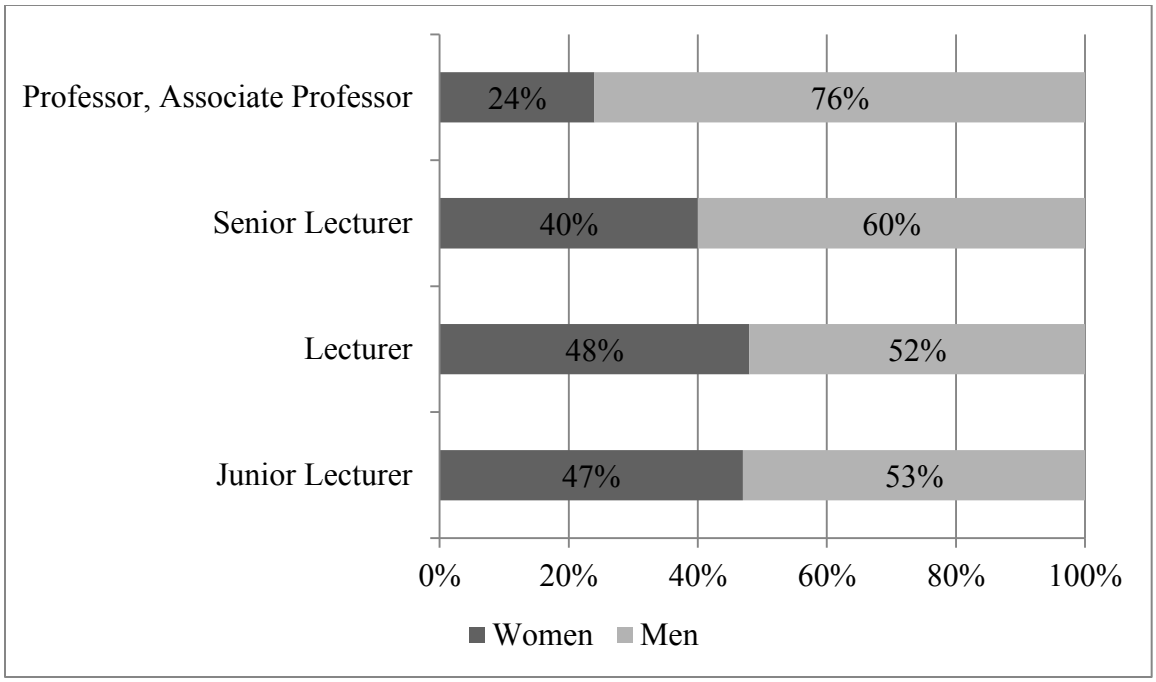

Figure 3. Academic Staff (Headcount) by Gender and Level of Appointment, 2007. Above demonstrates percentages of male and females by academic rank in South African higher education institutions. The information was retrieved from the website of the Council on Higher Education (2011), Women in South African Higher Education (http://www.che.ac.za/heinsa/whe/). The data was collected by the Higher Education Management Information System (HEMIS).

Culture of Change in the Transformation Process

The impetus for change in South African higher education came from public response to government mandates. The consensus was that a radical transformation of the education system after the 1994 national election would begin a movement of equal opportunities for all citizens, equal treatment, and the improvement of the quality of education in South Africa. Importantly, very little change takes place at the institutional level without the support and active participation of the leadership, especially by the president or the vice chancellor (Hayward, 2008). Academic leaders and senior level administrators such as deans and department heads are instrumental in strategy for change. Hayward (2008) studied strategic planning for higher education in three developing countries – Afghanistan, Madagascar, and South Africa. Despite the

difficulties identified in strategic planning processes in the developing countries studied, the research identified several critical changes leading to successes in transformation efforts.

Hayward (2008) reported that funding was provided by the Ford Foundation to support strategic planning efforts in South Africa. Strategic planners were recruited from current staff or external consultants to move the strategic planning processes forward at all South African higher education institutions. Strategic planners were hired to offer expertise, disseminate important information to staff, and silently lead planning efforts. Those hired worked closely with the president of the institution and a strategic planning committee. Hayward (2008) investigated strategic planning initiatives by leadership at the University of North Africa. Hayward discovered that the institutional leader made conscious efforts to change the perception and the reality of university administration from an institution of oppression under apartheid to one of emancipation in a new democratic South Africa. This strategy was not without extensive conflict and long hours of negotiation. University executives, academic, professional and services staff, and student organizations were heavily involved in this so-called act of liberation. The research also revealed that many of the higher education institutions in South Africa began to create a culture of planning by ensuring that teaching and research were linked to institutional missions, goals, vision, and priorities. Fostering integration and institutional legitimacy meant that strategic planning processes would help resolve conflicts.

Academic staff at the University of Fort Hare and the University of North Africa, historically Black universities (HBUs), became torn by the divisional conflict and histories of violence stemming from apartheid. Strategic planning processes were central

to the progression of both institutions. A sense of common purpose was developed among students, faculty, and administrators, under the guidance of the new majority led leadership that helped legitimize transformation at the institutional level. Improving university governance by broadening participation to include faculty, staff, students, and other key stakeholders (i.e. members of the community) in the strategic planning process was also identified as a successful strategy. This inclusion provides those who participate in the hard work, activism, negotiation, and compromise a stake in the outcomes so that the desired goals are achieved (Hayward, 2008).

Academic Leadership Defined

Leaders of higher education institutions are presented with a unique set of challenges. Leaders must balance not only the interests of faculty who maintain a powerful voice in institutional decision-making but also the competing interests of students, trustees, donors, government representatives, and community members. A study by Koen and Bitzer (2010) explored higher education leadership by researching values of leaders and their followers, including perceptions about leadership styles. The study explored leadership in South African higher education by interviewing 10 academic leaders at a racially diverse university. The aim of the research was to explore different perspectives of leadership in the 21st century and within a changing higher education system. Leadership competencies were identified as tools for effectively leading human capital. Cultural diversity within the composition of the student body was also considered a measurable outcome yet remains a critical challenge for academic leadership due to the poor record South African higher education has for embracing it. Table 3 is a list of common attributes identified by the academic leaders interviewed. Attributes listed are those that are perceived as needed to help leaders deal with

followership and challenges in higher education at the South African university. All 10 of the leaders interviewed believe clear and creative vision, effective modeling, interpersonal skills, shared goals, and team-building as highly important. Additional attributes listed, with at least five or more interviewees sharing a common perception, included strategic thinking, accountability, connecting community, effective management skills, motivation, integrity, credibility, empathy, and authenticity.

Table 3

Profile of Leadership (n=Respondents in Agreement/Total Number)

Vision		
Attribute	Explanation	N
1. Clear and creative vision	Leadership starts with a vision and direction.	10/10
2. Strategic thinking	Critical thinking, analytical, and problem-solving skills.	5/10
3. Change	Learn and adapt quickly.	2/10
Skills		
4. Model the way	Practice what you preach.	10/10
5. Expertise and self-coincidence	A skill cannot be built by only reading about it.	1/10
6. Accountability	There is a greater push today for accountability of leadership from the private sector, parents, and government.	9/10
7. Stay humble	Arrogant leaders create arrogant followers.	4/10
8. Interpersonal skills	Excellent communication skills are needed, which include non-verbal and verbal skills, respect and conflict management.	10/10
9. Intrapersonal skills	Leadership must be open to new ideas and resist competitive behaviors.	4/10
10. Community connectors	Leaders must connect their teams to organizations and go beyond the boundaries of the campus.	5/10
11. Entrepreneurial skills	Leaders have to plan budgets and generate income.	4/10

Table 3 (continued).

12. Management skills	Effective planning creates focus, direction and energy.	9/10
13. Technological skills	Technological advances force leaders to adapt and integrate these skills with existing institutional and departmental strategies and initiatives.	3/10
14. Shared goals and team-building	Participate decision-making.	10/10
15. Empowering and motivating skills	Motivate and do not push.	6/10
16. The leadership leap	Challenge traditional ways of working confidently.	4/10
	Values	
17. Trust	Trust makes people grow and thrive.	4/10
18. Integrity	Leaders must be sincere, honorable and trustworthy.	9/10
19. Credibility	Leaders have to practice what they preach.	6/10
20. Empathy	Leaders must be able to forget about themselves.	5/10
21. Honesty and fairness	In the academic community every person matters and each person's welfare and dignity must be respected and supported.	3/10
22. Authenticity	Leaders must be genuine, honest and reliable.	5/10
23. Humor	Leaders should not be afraid to laugh or smile.	2/10

Note: From "Academic Leadership in Higher Education: A 'participative' Perspective From One Institution," by M.P. Koen and E.M. Bitzer, 2010, *Academic Leadership, 8, 1*. Copyright by Academic Leadership: The Online Journal.

Smith and Wolverton (2010) examined leadership competencies in United States higher education using a quantitative research design. The research refined a qualitative study by Elizabeth McDaniel (2002) who identified core higher education leadership competencies classified in four categories: context, content, process, and communication. Competencies within the category context relate to the leader's understanding of dimensions, trends, and complex issues pertaining to United States higher education. It

defines higher education leadership broadly based on universal assumptions that higher education institutions are unique organizations operating within specific environmental contexts. Under these circumstances, competent leaders relate general knowledge about higher education in the United States and use that knowledge for effective decision-making (Smith & Wolverton, 2010).

The second higher education leadership competency category is content which relates to the various functions of the organizational structure of United States higher education institutions. Higher education institutions are diverse organizations requiring leaders to understand the value of strategic planning and how it relates to the mission and goals of the institution. Smith and Wolverton (2010) assert that leaders maximize the distribution and allocation of resources throughout various units to achieve desired outcomes such as programming, which fosters learning and enhances learning, diversity, equality, and access.

Process is the third higher education leadership competency category. Process competencies comprise of general knowledge and understanding of the higher education leader, including associated behaviors necessary to achieve desired outcomes. Leaders encourage professional development and constantly refine their knowledge by accepting new information to guide decisions. Process competencies also reflect resourcefulness, understanding to the needs of students, and flexibilities in becoming a change agent as a higher education leader.

The final competency category is communication. Subcategories include verbal, nonverbal, and written. All three are observed as the ability of the leader to articulate vision, engage multiple perspectives for decision-making, and to dialogue around controversial issues in higher education.

Prior to the research conducted by Smith and Wolverton (2010), no survey existed that measured the perceived importance of higher education leadership competencies (HELC). Smith and Wolverton (2010) created a survey instrument based on previous higher education leadership surveys and assessments. Subjects sampled were athletic directors, senior student affairs officers, and chief academic officers from 327 NCAA Division 1 higher education institutions. Subjects were asked to rate the importance of statements from an HELC Inventory on a scale from 1 (not important) to 5 (very important). The survey was distributed to 971 employee email addresses consisting of 327 athletic directors, 322 senior student affairs officers, and 322 chief academic officers. A total of 295 completed the HELC Inventory, out of 350 respondents. This is 30% of the targeted population. Based on extensive analysis of the data and existing theory, higher education leadership competencies were categorized slightly differently than that of the categories identified in the 2002 McDaniel study. Categories changed to include: (1) analytical; (2) communication; (3) student affairs; (4) behavioral; and (5) external relations. Data was analyzed with varimax rotation using SPSS 14.0. Table 4 provides an abbreviated snapshot of the factor loading scores of the five components. The top three for each category are included in the table. Variable groupings with factor scores at the acceptable level to the researchers of .5 or above were retained in the final model.

Table 4

Top Three Factor Loading Scores of New Five-Component Model

Leadership Competencies	Factor Loading Scores
Analytical (16 competencies total)	
Demonstrates the ability to diplomatically engage in controversial issues	.704

Table 4 (continued).

Demonstrates understanding complex issues related to higher education	.681
Seeks to understand human behavior in multiple contexts	.666
Communication (5 competencies total)	
Communicates effectively	.693
Communicates vision effectively	.630
Expresses views accurately	.609
Student Affairs (4 competencies total)	
Demonstrates understanding of student affairs	.740
Demonstrates understanding of legal issues	.692
Responds to issues and needs of contemporary students	.590
Behavioral (5 competencies total)	
Demonstrates unselfish leadership	.751
Recognizes the value of a sense of humor	.673
Responds to the needs of contemporary students	.631
External Relations (5 competencies total)	
Demonstrates understanding of advancement	.741
Demonstrates understanding of athletics	.735
Relates well with governing boards	.615

Note: From "Higher Education Leadership Competencies: Quantitatively Refining a Qualitative Model" by Z. A. Smith and M. Wolverton, 2010, *Journal of Leadership and Organizational Studies*, *17, 1*, pg. 61-70. Adapted with permission of the author. Copyright by SAGE Journals Online.

Qualitative and quantitative research designs revealed common themes in this literature review. Collectively, these studies suggest that leaders in higher education in the United States and South Africa must (1) exemplify effective communication skills; (2) be strategic and analytical thinkers; (3) be visionaries; (4) be responsive to external constituents; and (5) empathetic to the needs of students, faculty, and key stakeholders. Current research also suggests that effective teams are important, yet questions regarding inclusion and engagement of multiple units in the decision-making process remain unanswered (Smith & Wolverton, 2010). Smith and Wolverton (2010) suggest that more

research is needed to describe behavioral competencies, including those relating to empathy, sincerity, and empowerment. This dissertation will attempt to build upon existing leadership theories regarding engagement of faculty and institutional leaders in higher education. It is an attempt to uncover new insights of leadership for institutions involved in improving campus diversity, institutional climates, and transformation processes.

Academic Leadership and Campus Diversity

Research suggests that diversity is narrowly linked to theories leadership and management. The impetus for diversity leadership agendas in colleges and universities is related to the recognition that faculty ranks need to reflect societal realities (Portugal, 2010). Higher education institutions are becoming increasingly aware of the advantages diverse faculty offer such as intellectual competiveness, an organizational culture that fosters diversity pedagogical practices, and advancing cultural scholarship perspectives. As colleges and universities constantly define their roles, reflective of moral and organizational aspects of their mission statements, academic leaders must have a vision. This vision is not only for curricula and faculty development but also for the composition of the student body, faculty, and administration (Page, 2003).

The theoretical framework of leadership around the implications of compositional diversity is relevant to workplace outcomes and adaptive organizational challenges. Diversity related literature also considers social constructs such as valuing cultural differences, cross-cultural interaction or communication, and cultural competence as important. Little attention has been given to the impact relationships have on diverse populations in the workplace. An examination of the leadership literature suggests that

leaders should offer more than support and commitment to diversity by becoming more engaged in diversity related initiatives.

Hooijberg and DiTomaso (1996) argue that research literature on social interaction, social identity, and social categorization tend to rely on interpersonal and intergroup relations and avoid the more difficult issues such as difference or resistance to change. Reactions to difference often include anger, hatred, misunderstanding and inequality. Leaders should act upon these reactions for shaping or transforming relationships of people in various categories (i.e. resources, power, and opportunity). This will require informed vision and personal commitment towards better organization leading to a better society. Additional research claims that diversity policies and practices should be a part of organizational strategy and its mission. The way diversity has been incorporated into leadership theories or management are comfortably linked to perceptions and beliefs and not about discrimination and action.

Milem, Chang, and Antonio (2005) conducted a scan of the literature and compared various studies relating to diversity engagement in higher education. The goal of this research was to collectively demonstrate how compositional diversity influences student attitudes and feelings about the learning environment. Compositional diversity refers to the racial and ethnic composition of the student body. Findings from the research of Milem, et al. (2005) concluded that student opinions and reduced levels of prejudice enhance student abilities to adapt to change, in particular when compositional diversity increases. Students learn to think more deeply, actively, and critically when confronting personal biases. This also leads to improving race relations, learning, and understanding. The authors also concluded that although hundreds of studies have explored issues of student and faculty perceptions to diversity, less have investigated how

institutional leaders maximize educational benefits of diversity or institutionalized diversity on their campuses.

Associated research reflects how legacies of exclusion influence the organization and the structure of higher education. This impacts institutional climates. For example, dimensions of institutional climates are reflected in the curriculum, campus decision-making practices, reward structures, employment, admissions, and tenure decisions. These are important structures and processes that guide the day-to-day business of the university campus (Milem, et. al 2005; Milem, Dey, & White, 2004). Milem, et al. (2005) suggest that the inclusion of diversity within mission statements provide an organizing framework for specific diversity initiatives. These visible messages make institutional leaders accountable for keeping their diversity related promises.

An exploratory study conducted by Morphew and Harley (2006) reviewed over 300 randomly selected mission statements from four-year colleges and universities in the United States. The goal of the study was to identify common language within these statements by institutional types. In their analysis, the researchers identified approximately 118 distinct elements appearing in the statements such as wording and themes. Across four of the six types of Carnegie classified public institutions studied, inclusive of general vs. liberal arts at the baccalaureate, master's and doctoral/research extensive level, commitment to diversity ranked in the top three of the most commonly used phrases in the statements. The researchers acknowledged their hypothesized biases of mission statements being more symbolic in nature. Findings suggest that the mission statements from public institutions are responsive to stakeholders such as students, alumni, and taxpayers as a way of legitimizing their roles and communicating accountability. Although the study was not intended to fully explore institutional

behaviors, operations, or practices reflective of the mission statements, it did offer a broad overview on how institutions represent themselves publicly.

A four-year action research study of a small private Catholic institution in the United States was conducted during its attempt to change its instituitonal culture (Tanaka, 2005). The frequency of racial incidents negatively impacted the campus' climate and forced campus leaders to seek a model for restablishing racial harmony. Institutional leaders initiated a comprehensive approach that was guided by those that would ultimately be impacted by the forecasted changes. Structured initiatives included (1) diversity training for staff; (2) a cultural competency certificate program for students; (3) hiring of more minority faculty; (4) developing curricula to train faculty on teaching diverse learners; and (5) continuous assessments for monitoring racial climates and sensitivity toward institutional diversity. After four years of implementing these strategies, data demonstrated positive measureable outcomes for students, faculty, and staff. Outcomes included satisfactory feelings of inclusion and comfort among students, faculty, and staff when participating in activities aimed at diversity and inclusion. Positive levels of satisfaction towards the high levels of commitment for changing the teaching and learning environment was also a measurable outcome. The number of incidents relating to racial discrimination also decreased. Only a fraction of the campus participated in these activities during the institutional climate change or transfromation process (i.e. 50% staff, 20% faculty, and 45% of the student body), yet the university remains committed to these efforts (Tanaka, 2005).

The association between diversity and leadership is synergistic because diversity promotes changes as an emergent agent in the structuring of higher education. Leadership promotes practices that identify diversity as a nested context for achieving

balance in the social relations between higher edcation and society (Aquirre & Martines, 2002). In contrasting two distinctive frameworks, Aquirre and Martines (2002) describe leadership practices for diversity as utilizing resources and restructuring resource allocations. If effective, leadership will provide institutions of higher education with measurable responses to diversity issues. Examples include the number of minority faculty participating in the research mission of the institution, the extent of minority faculty participation in governance activities, or the incorporation of classes focusing on diversity related issues in the curriculum. This framework serves as a catalyst in the transformation of the overarching mission of the institution, in particular the organizational culture and institutional climate.

The second framework involves leadership practices which seeks to transition the academic culture to address diversity related issues. It is a limited response to diversity issues over a period of time and is not necessarily concerned with achieving specific goals. For example, an institutional response to diversity issues is considered more as a descriptive profile of its institutional character rather than meeting specific goals that make the institution diverse. This entails the development of institutional capacity for change and not the transformation of an organizational culture characterized. Conclusively, institutions operating within the first framework are more likely than institutions operating in the latter to incorporate diversity into the organizational culture and institutional environment because diversity and inclusion are promoted as a unified practice. In otherwords, the relationship between diversity and inclusion attains actualization when an institution transforms the culture and its environment.

Leadership must create college campuses that are welcoming and supportive places for all students, regardless of their racial or ethnic backgrounds (Feagin, 2002).

Page (2003) insists that in order to produce a diverse community, a leadership team must be committed to five key features:

1. A commitment to understanding other cultures and the value of diversity in leadership positions;
2. the understanding and commitment to basic values that flow through the organization;
3. the creation of a culture of trust where the diverse organization has a high level of respect for all cultures represented;
4. the conscious development of strategies to recruit or provide mobility for women and ethnic minorities within the organization; and
5. a willingness to be accountable for the success or failure of promoting diversity within the academic leadership, including accountability for monitoring and mentoring the leader.

If universities truly desire to be reflective of a multicultural society, then each university must begin to analyze data regarding its own campus and cultural diversity (Dumas-Hines, Cochran, & Williams, 2001). Once data is consolidated, this information should be transferred into a cohesive and comprehensive action plan to promote greater cultural diversity throughout all levels of the university structure.

Faculty as Academic Leaders

College and university faculty members are in a position to provide the kind of leadership that could transform institutions toward greater community, cooperation, and harmony (Astin & Astin, 2000). Faculty members actively collaborating with administration shape institutional culture through decision-making on issues relating to admission standards, research and scholarship, and participation in shared governance.

On the other hand, Astin and Astin (2000) also assert that faculty members often find themselves disempowered manifested by limited engagement in meaningful decision-making. Engagement is defined as a "positive, fulfulling work related state of mind characterized by vigor, dedication, and absorption" (Schaufeli & Bakker, 2004, p. 295).

The Utrecht Work Engagement Scale (UWES) was used to measure levels of engagement among academic staff at South African higher education institutions (Rothmann & Jordaan, 2006). Subscales measured typical job demands and job resources of academics on a four-point scale ranging from 1 (never) to 4 (always). The researchers hypothesized that job resources such as growth opportunities, institutional support, advancement opportunities, and job security lead to work engagement of academics in higher education institutions. Descriptive statistics and regression analysis reported that vigor – the positive affective response to ongoing interactions and interconnectedness – is significantly related to growth, institutional support, social support, and advancement. Dedication is characterized by sense of significance, enthusiasm challenged by inspiration and was found to be statistically significant to growth, institutional support, social support, and advancement. The results of the study concluded that job resources play a significant role in the work enagement of academic staff at higher education institutions in South Africa (Rothmann & Jordaan, 2006). Table 5 demonstrates three types of job resources that were identified as moderate to strong predictors of work engagement of academic staff in South African higher education.

Table 5

Job Resources Relating to Work Engagement

Job Resource	Description
Growth Opportunities	Variety, learning opportunities, and autonomy
Organizational Support	Supportive supervisory relationships, communication, information, role clarity, and participation
Advancement Opportunities	Renumeration, training, and advancement opportunities

Note: From "Job Demands, Job Resources and Work Engagements of Academic Staff in South African Higher Eduction Institutions" by S. Rothmann and G.M.E. Jordaan, 2006, *South African Journal of Industrial Psychology*, *32, 4,* pg. 87-96. Copyright by AOSIS OpenJournals.

The Transformational Leader

James MacGregor Burns introduced transforming leadership in 1978 as: "The transforming leader looks for potential motives in followers, seeks to satisfy higher needs, and engages the full person" (p. 4). This idea raised the stakes for what leadership should be about, with the expectation that leaders and followers meet the need while transforming each other to higher levels of motivation and morality. In his mind, leaders and followers are peers and just play different roles (Chrislip & Larson, 1994). Burns points to Mohandas Gandhi as a classic example of transformational leadership (Northouse, 2004). Gandhi raised hopes and demands of millions of his people and in the process was changed himself.

Around the same era Burns published his classic work *Leadership*, Robert J. House published a theory of charismatic leadership (1977), which is often described very similar if not synonymous with transformational or transformative leadership. In this theory of charismatic leadership, House suggested that charismatic leaders act in unique

ways that have specific effects on their followers. Charismatic leaders are characterized as strong role models with beliefs and values they want their followers to adopt. Like the example of Gandhi who advocated non-violence and was an exemplary role model of civil disobedience. Charismatic leaders appear competent to followers and articulate ideological goals with moral overtones (Northouse, 2004). Another example is the famous *I Have a Dream Speech* by Dr. Martin Luther King, Jr. that demonstrates charismatic leadership. Charismatic leaders communicate high expectations for followers and exhibit confidence in followers' abilities to meet these expectations. These leaders also arouse task relevant motives in followers that may include affiliation, power, or esteem. Northouse (2004) offers the example of the appeal of President John F. Kennedy to the human values of the American people when he stated, "Ask not what your country can do for you; ask what you can do for your country" (p. 172). Nelson Mandela, the first non-White president of South Africa is viewed as a leader with high moral standards. His vision for South Africa guided monumental change in how the country would be governed moving forward. President Mandela's charismatic approach and response of followers transformed an entire nation.

The theories of charismatic or transformational leadership have been extended and revised through the years with linkages to the identity of followers to the collective identity of the organization. Not only are leaders focused on facilitating change but also the culture of the organization.

By the mid-1980s, Bernard Bass expanded and refined the theory of transformational leadership. Bass's work provides more attention to followers rather than leaders. He argues that transformational leadership motivates followers to do more than the expected by raising levels of consciousness of followers about the importance and

value of specified and idealized goals. Bass's work is not fully consistent with the work of House or Burns as it relates to the theory (Northouse, 2004). Bass's theory revolves around getting followers to transcend their own self-interest for the sake of the team or organization; and moving followers to address higher level needs (Bass, 2006). Bass contends that transformational leaders help followers grow and develop into leaders by responding to individual followers' needs through empowerment and alignment with objectives and goals of the individual followers, the leader, the group, and the larger organization.

Additional factors intertwined with transformational leadership are charisma, inspiration or motivation, intellectual stimulation, and individualized consideration by providing supportive climates for followers. In higher education, transformative leadership demands participation to emerging tensions heightened by the culture of the institution and urgency for change.

Transformative leadership is empowering leadership. Skills required are self-awareness, authenticity, and empathy. This style of leadership is developed through listening, collaborating, and shaping a common purpose (Astin & Astin, 2000). Faculty, defined in the United States as teaching staff at an educational institution, that model transformative leadership replace constrained beliefs with empowering methods. This leads to improved levels of engagement and action that strengthens the institution and enriches the professional development of the faculty member. As stewards of higher education, faculty members are in powerful positions to initiate transformative change on college campuses. Faculty have the greatest employment longevity, influence student learning and learning environments, build intellectual capital through collegiality, and serve as agents of societal transformation (Astin & Astin, 2000).

Governance of Higher Education in the United States and South Africa

The importance of the university to our society suggests the importance of experiences and responsible university leadership, governance, and management. Governance of public colleges, universities, and higher education systems in the United States is complex and is exercised by governing boards, state coordinating bodies, or state and federal government (Duderstadt, 2009). States have distributed the responsibility and authority of public education through a hierarchy of governing bodies including the legislature, state executive branch agencies, coordinating boards, institutional governing boards, and institutional executive administrations. This diversity of governance involves the consideration of history and constraints specific to the higher education institution. The collegial style of governance in higher education has a long history in this country and abroad (Duderstadt, 2009). At the institutional level, leadership and management include administrative officers such as presidents, deans, and department chairs.

Academic chief executive officers or university presidents are experienced academic managers, usually beginning their career as faculty members, and progressing to administrative ranks such as dean, vice president, and then president (Green, 1997). By way of the structures of educational models and systems in the United States, these leaders possess limited power. University presidents lead by persuasion of boards of trustees, system heads, and legislators. Pressure groups such as faculty, the student body, alumni, and the community also drive the academic leader. Expectations and constant pressures for change from these constituent groups are immense.

The role of leadership in academia is situational, depending both on the nature and mission of the institution, and on the circumstances (e.g. demographics and

economics) prevailing at the time (Green & Hayward, 1997; Johnstone, 1997). Johnstone (1997) add that academic leadership needs to reinforce institutional commitments that faculty will support intellectually and emotionally, but not necessarily behaviorally. This involves commitments that are not in the natural self-interest of the faculty, such as increased access, the expansion of educational opportunity, the racial and gender diversification of the faculty, community service, etc.

In South Africa, the debate on leadership and management of institutional change was subsumed under broader governance struggles with little, if any, engagement with issues relating to the management of and the role of leaders in the transformation of the apartheid higher education system inherited in 1994 (Kulati & Moja, 2002). The Education White Paper (1997) on higher education transformation outlined a new governing structure based on cooperative governance. At the institutional level, this form of governance prohibited any single stakeholder such as administration, academic staff, or students for taking sole responsibility for the institution's transformation agenda. Cooperative governance ensured transparency and that decision-making was participatory. The new governing structure also refined the relationship between the higher education sector and the country. Consequently, the roles of leaders at higher education institutions were not clearly defined under the new framework. To an extent, this disempowered institutional leaders for steering change.

As demonstrated in this chapter, an overview has been provided of interconnected theories of leadership within organizational culture. Thematically, this review identifies limitations on evidence-based research regarding levels of engagement among leadership in changing institutional culture. The goal of this research is to explore two higher education institutions involved in transforming institutional climates. The institutions

will serve as case studies to support the research methodology. In a comparative case study across different organizations, the objective is to compare or replicate the organizations studied with each other in a systematic way, in the exploration of different research issues (Rowley, 2002). The first case study will be the University of Cape Town located in the Western Cape of South Africa. The second case study will include a university in the southeastern region of United States. For the purpose of anonymity, the second case study will be an institution under the fictitious name of *Neiman University*. These higher education institutions were selected due to similar histories of discriminatory practices, governance, policies, and compositional trends among students, faculty, and staff by race and gender. Each institution is continuously involved in transformation efforts for improving institutional climates in separate countries.

Section 101 of the Higher Education Act (20 U.S.C. 1001) defines an institution of higher education in any state of the United States legally authorized to provide education beyond the secondary level. Universities, colleges, and professional schools are included in higher education due to their orientation of theoretical and research aspects. Graduate schools, including schools of medicine, law, dentistry, and veterinary medicine are considered postsecondary level or third level education and are included in this definition. In South Africa, higher education includes education for undergraduate and postgraduate degrees up to the doctoral level. The Department of Higher Education and Training oversees universities and other postsecondary institutions in South Africa. This department was created in 2009 after the election of President Jacob Zuma divided the former Department of Education. Medical schools in the United States and South Africa operate under the auspices of higher education institutions. For the purposes of this research, secondary data will be used from previous research conducted at the

University of Cape Town and Neiman University. Inequalities due to racial discrimination at each institution are described in great detail in each case study.

Case Study One: The University of Cape Town, South Africa

South Africa is divided into nine provinces and is home to approximately 50 million people. Black Africans is the majority, making up 79% of the population while Whites make up nine percent, Coloureds nine percent, and the Indian/Asian population three percent (Statistics South Africa, 2011). There are eight government funded medical schools in the South Africa. No privately funded medical schools exist in the country. All of the medical schools were racially segregated based on enforced apartheid policies until the late 1980s. The five historically White institutions (HWIs) were not permitted to admit Black African students until the 1980s, in contrast to Couloreds and Indian students being permitted by government to attend a HWI since the 1940s. (Burch, 2007; Colborn, 1995). Table 6 is a list of the eight medical schools in South Africa.

Table 6

South Africa's Eight Medical Schools

Institution	Founded	Total # Enrolled	Medical School Enrollment (2003)		Medical School Graduates (2003)	
			Number	% of total	Number	% of total
University of Pretoria*	1943	38,500	1,241	14.5	184	14.2
University of the Witswatersrand*	1921	24,000	1,343	15.7	188	14.5
Stellenbosch University*	1956	21,700	1,054	12.3	177	13.7
University of Cape Town*	1900	16,000	1,044	12.2	155	12.0
Free State University*	1969	16,000	676	7.9	88	6.8

Table 6 (continued).

University of Kwa-Zulu Natal (UKZN)**	2005	18,000	1113	13.0	165	12.7
Walter Sisulu University (WSU)***	2005	20,000	475	5.6	56	4.3
University of Limpopo (UL)****	2005	3,000	1,590	18.6	283	21.8
National Total		157,200	8,536	100.0	1,296	100.0

Note: From the doctoral thesis "Medical Education in South Africa: Assessment and Practices in a Developing Country" by Vanessa Celeste Burch. Data derived from FAIMER International Directory of Medical Schools; Department of Education EMIS database. *HWU = Historically White University; ** UKZN formed by a merger between the University of Natal, which opened a medical school in 1951, and the University of Durban-Westville; ***WSU formed by a merger between the University of the Transkei (UNITRA), which opened a medical school in 1986, and the former Border and Eastern Cape technikons; ****UL formed by a merger between the Medical University of South Africa (MEDUNSA), which opened a medical school in 1977, and the University of the North.

After the first democratic election in South Africa in 1994, the new government prioritized the radical reform and transformation of higher education and healthcare. Policies to address inequalities in the setting of higher education in South Africa included strategies for increasing student enrollments and the number of graduates. In the context of medical education, three strategies were adopted: (1) to increase the number of medical student enrollments at HBUs; (2) to increase the number of Black African medical student enrollments at HWUs; and (3) to develop ways of improving retention and graduation rates of Black students in medical programs. New policies and international trends in medical education reform served as the principal catalysts for a process of major curriculum reform among the eight medical schools (Burch, 2007).

During the early 1900s, social crises and economic hardships were dominant in South Africa. Disease, such as tuberculosis, took a toll on the country's workforce. Legislation empowered Whites while Blacks lost most or all access they had to wealth and power. Young Coloured boys found it nearly impossible to secure apprenticeships, due to White women replacing Coloureds in factories. Housing was available to Whites while Coloured people were forced to live in inner city slums. This societal turbulence led to the establishment of the first medical school at the oldest university in South Africa – the University of Cape Town (UCT). Beginning with the opening of anatomical and physiological laboratories in 1912 and later in the formal founding of the medical school in 1920. By the 1930s, the medical school was affiliated with several teaching hospitals for providing instruction to senior UCT medical students. Unfortunately, these facilities were racially segregated with separate wards for Black and White patients. Racially segregated facilities included the use of separate entrances, toilet facilities, waiting areas, canteens, and intensive care units (UCT Truth and Reconciliation Report, 2006). Institutional segregation was overturned with the creation of a new hospital wing at Grote Schuur Hospital, the main teaching hospital, when all facilities were fully integrated in 1988. As a result of institutionalized discrimination, Black staff and patients that were denied access to White wards and patients were mentally impacted and conditioned with the direct effects of racial segregation.

The medical school at the University of Cape Town (UCT) is now known as the Faculty of Health Sciences. As demonstrated in its history, it was not immune to racist, sexist, and other discriminatory practices. In order to overcome the legacy of the discrimination, the Faculty of Health Sciences committed to achieving institutional transformation by fulfilling its mission of addressing health challenges faced by South

Africa and the African society. By 1998, the Faculty aggressively worked to promote quality and equity in education, health care services, and undertaking research relevant to needs of the country (UCT Truth and Reconciliation Report, 2006). In South Africa, the term Faculty is the equivalent to College or School at a university in the United States (i.e. School of Medicine, College of Education).

Transformation efforts in the Faculty of Health Sciences began with investigative research projects that sought to understand what happened at UCT during apartheid and to identify current obstacles for Black staff, students, and potential women faculty. Investigative research included a survey of Black alumni using a semi-structured questionnaire involving both qualitative and quantitative data; a postal questionnaire sent to all alumni from selected graduation years since 1945; responses from a set of in-depth interviews with UCT staff members who served as teaching staff under apartheid; and focus groups and individual interviews with current UCT staff classified as disabled, female, and Black. Analysis involved both quantitative and qualitative data collection methods. An executive summary from the research conducted by UCT Faculty of Health Sciences identified the following emerging themes:

1. Black students experienced various levels and manifestations of discrimination while at UCT. By acknowledging this discrimination, UCT enabled recognition of their experiences to take place so that reconciliation may be possible.
2. Despite experiencing hurtful discrimination that adversely affected their learning opportunities and careers, Black alumni still generally recognized many positive aspects of their training, including the presence of outstanding individuals who acted consistently in the best interests of their students,

irrespective of their race. Many Black alumni retained a level of loyalty and goodwill toward the institution that enabled them to express strong support for the transformation process at UCT.

3. Given the historical context, as an institution, UCT could be simultaneously opposed to apartheid as well as reinforcing discriminatory practices under apartheid. This explained many of the ambivalent or contradictory views expressed within and between individuals reflecting on the past of UCT.
4. An enabling environment, that recognizes diversity and that values all members of the university community is critical to transformation. Exclusion took place not just in the academic field but also in social terms, and the latter was as powerful in replicating disadvantage and discrimination. For this reason, it is critical that the institution build an ethos that values all staff and recognizes their human potential into all teaching, research and service in the faculty (UCT Truth and Reconciliation Report, 2006).

Common findings were used to inform the Faculty of Health Sciences to design and implement interventions to support institutional transformation efforts. Research findings also provided the basis for the creation of a Faculty Charter. The *Faculty Charter* was adopted in 2002 and summarized ideologies for developing a culture of human rights based on respect for human dignity and non-discrimination. A *Student Declaration* to replace the traditional oath taken by students in the health sciences at the completion of their studies was also developed. A multidisciplinary committee of faculty, staff, and students developed this oath that was inclusive of non-discriminatory principles with respect for human dignity and rights. Lastly, the Faculty of Health Sciences committed to incorporating human rights, ethics, and the lessons derived from

the painful self-examination of the experiences of Black students at UCT, at all levels of teaching, and within the undergraduate medical education curriculum (UCT Truth and Reconciliation Report, 2006).

The University of Cape Town (UCT) has led the way in changing the ethnic profile of medical student enrollments and graduates at HWUs in South Africa (Burch, 2007). The institution implemented the Academic Development Programme during the 1990s. This program was designed to provide additional educational support with two intended outcomes. The first was to increase the enrollment of Black medical students at UCT. The second was to improve retention and output of Black medical students at UCT. In 2002, the program was discontinued despite its success for doubling enrollment for targeted underrepresented groups. By 2006, the University of Cape Town approved the Employment Equity Policy that recognized specific measures to achieve equity in the employment of designated groups, namely Africans, Coloureds, Indians, women, and persons with disabilities. The goal was to appoint and promote persons from these sub-groups, in accordance with the employment equity plan at UCT. This policy is promoted across all Faculties, including the Faculty of Health Sciences, at the University of Cape Town.

Case Study Two: Neiman University, United States of America

Located in a southeastern state of the United States of America, Neiman University houses the only academic medical center, with origins of medical education noted as early as 1903. During the early 1900s, there was one medical college owned by a group of physicians. Medical training was offered at the state's oldest traditionally White university (TWI). The medical department was divided into two separate

campuses. The minimal entrance requirement was a four-year high school education or its equivalent.

The early existence of medical schools in the United States lacked university oversight and no uniform standards, producing a surplus of poorly trained physicians. The Flexner Report (1910), an in-depth commentary on the condition of medical schools around the country, documented that the 14 teachers at the medical school of Neiman University were disadvantaged due to the need for more competent assistants. The report also suggested that the institution should ask for more support from the legislature to help develop its medical department. Although Abraham Flexner, the author of the report, was not overly enthusiastic about the medical department at this university, he saw it as the only alternative for a poor southern state to educate its citizens in the practice of medicine (Quinn, 2005). In 1927, the Association of American Medical Colleges (AAMC) placed the school on probation due to inadequate buildings, too few faculty, and poor facilities. Nearly 40 years after the Flexner Report was published, the legislature enacted a law in 1950 to create a four-year medical school. The medical sciences campus opened in 1955.

The home state of Neiman University has had its share of tumultuous events, imprinted in civil rights history of the United States. Attempts to break color barriers at traditionally White institutions (TWIs) resulted in riots, death, and enforced action of law enforcement. Simultaneously, slayings of civil rights leaders and advocates were diminishing any chance of positive imagery in this state. The tenure of the first vice chancellor at the medical sciences campus began a year before its home institution, Neiman University, enrolled its first Black undergraduate student. During the same summer in which the bodies of slain civil rights workers had autopsies performed at the

medical sciences campus, President Lyndon B. Johnson signed the civil rights law into effect guaranteeing all citizens equal access to employment and education without regard to race (Quinn, 2005). Congressional leaders were eager to witness a national system of first-rate medical education and research centers. However, political opposition remained unmoved in the state. Reports of creeping racial integration were reported in the teaching hospital of Neiman University. This forced the hospital to discontinue the mixing of Black and White employees during orientation. Legislators also investigated Black and White children playing and watching television together on the campus, justified by the state's sovereign status. By 1965, state officials knew that resistance would be unsuccessful as desegregation was law. Although many of the state legislatures opposed the idea of integration at the main campus of Neiman University, there was a different sentiment when it came down to the medical sciences campus. The administration knew that had Neiman University failed to obey the law, appropriations of research funds, training grants, and physical facilities would be lost.

The first vice chancellor of the medical science campus led integration efforts at Neiman University. He ensured that every measure was taken to comply with the Civil Rights Act of 1964. Signage over water fountains and restrooms with the words *White* and *Colored* were removed. A wall was torn down of a once segregated cafeteria. In February 1965, the public affairs department at the medical sciences campus announced that the hospital would begin rearranging patients to comply with the civil rights law. All surgery patients were placed on the same floor and all medical patients on another floor without any regard to race.

Despite these steps, Neiman University was still threatened by uncertainty and litigation. The National Association for the Advancement of Colored People (NAACP)

had filed suit against 29 hospitals in the United States, including Neiman University. After this filing, the institution worked tirelessly to ensure that the teaching hospital was in compliance. After an intense inspection and the first out of the 29 hospitals in litigation to be inspected by The Department of Health, Education, and Welfare (now known as the United States Department of Health and Human Services), the hospital was found in compliance. Concerns lingered and the head of The Department of Health, Education, and Welfare (DHEW) requested evidence of nondiscriminatory practices in the selection of students and faculty members. This request was made just as an official attempt for hiring the first Black faculty member, also female, was recommended. The governing board of all state institutions stalled the hiring process. By 1969, Neiman University was out of compliance again. It was reported that a more aggressive approach was needed for recruiting Black students and faculty members at Neiman University. During this same period, academic institutions around the United States were faced with similar compliance issues. The state began to compete with institutions offering qualified Black students' desirable financial packages to help boost their enrollment. Despite knowledge of this competition, Neiman University remained at a slow pace for aggressively recruiting minorities to the student body and faculty.

From 1956 to 2001, the medical sciences campus increased its growth. The campus did not only include a school for medicine but also dentistry, allied health professions, nursing, pharmacy, and graduate studies. The expansion increased Black student enrollment but retaining the students was problematic. The recruitment of minority students began to be more systematic after an institutional plan of compliance was approved by DHEW in 1970. The first Black graduate student earned a Ph.D. in microbiology in 1970 and the first Black medical student graduated in 1972. The Office

of Minority Student Affairs was created to facilitate entry and matriculation of potential health professional students from Historically Black Colleges and Universities (HBCUs) in the state. Great strides have been made based on realities of such dismal decades. This office remains operational and continues its legacy of educational support for underrepresented students. Neiman University restores its mission by providing quality care for all citizens of the state. Strategic goals are to train the best and the brightest for producing a diverse, competent workforce, and engaging in world-renowned research for eliminating disease and health disparities.

In 2011, Neiman University reported 77% White faculty members, 13% Asian faculty members, and eight percent Black faculty members. Women were slightly underrepresented at 42% of the total faculty. Among executive and managerial staff, Whites made up 77% and Blacks at 22%. Sixty-two percent of women comprised of the executive and managerial staff. In 2011, the registrar reported the total number of graduates by race. Whites received 77% of the total degrees awarded while Blacks were only 12%. This is a four percent increase since 2009. Asians comprised of six percent of the total degrees awarded. All other races were less than two percent.

The literature review and history outlined in this chapter offers alarming evidence that cultivating cultures of inclusion and support is of paramount importance to institutions of higher education. Previous studies highlighted in this chapter identified common social constructs. These constructs are influential in the change or transformation process. This research will offer approaches for developing improved and inclusive practices through a comparative research study. Chapter III will describe the research methodology.

CHAPTER III

METHODOLOGY

The purpose of this study is to investigate factors relating to institutional climates in higher education. This research will compare social constructs that impact institutional climates at higher education institutions in the United States and South Africa. It is a comparative analysis of two institutions involved in assessing levels of engagement and higher education transformation for improving efforts to address imbalances of the past. There is limited information in the literature about cross-national approaches for improving institutional climates although a wide range of institutions have conducted institutional climate studies. Very little research explores faculty or academic staff engagement in the higher education transformation process cross-nationally. Specifically, the study seeks to identify differences in the perceptions of faculty or academic staff in higher education in the United States and South Africa. Responses from institutional climate studies conducted at higher education institutions in each country will be compared. The research studies were designed to assess influential factors for improving institutional climates controlling for variables such as race, gender, and job role. This chapter describes the research design, sample of subjects, survey instruments, hypotheses, data collection methods, data analysis, reliability and validity, and limitations of the research.

Research Design

The research design uses content analysis as a method for analyzing written quantitative and qualitative data. Content analysis is a research method for making replicable and valid inferences from data to their context, with the purpose of providing knowledge, new insights, a representation of facts and a practical guide to action

(Krippendorff, 1980; Elo & Kyngas, 2007). The research design uses historical controls and secondary data collected from respondents from two separate surveys. Survey research involves setting objectives for information collection, designing the study, preparing a reliable and valid survey instrument, administering the survey, managing, and analyzing the data and reporting the results (Fink, 2003).

Content analysis involves specialized procedures that allow for replication (Marsh, 2006). The object of this method is to test hypotheses from what is already known and not develop them. The researcher identified content analysis of two independent surveys to ensure triangulation of data. This form of research is the most suitable method for this dissertation to better understand this topic. In order to mediate limited perspectives of the complexities of phenomena relating to higher education transformation internationally, the researcher utilized data from surveys administered at the University of Cape Town in South Africa and Neiman University in the United States. Responses to survey items relating to collegiality, governance, communication, strategic clarity, organizational environment, harassment or discrimination, diversity and equity, and best and worst aspects were extrapolated and compared from each set of survey data.

Sample of Subjects

The study samples include faculty members and academic staff in higher education in the United States and South Africa. The population surveyed represents various departments at the University of Cape Town (UCT) and at Neiman University. Both universities recruited participants through electronic mail to participate in the studies.

Hard copies of the survey were made available to employees with limited e-mail access at UCT. UCT distributed the survey questionnaire to all employees at the university rather than a sample of their employees. At the time of the survey, UCT employed approximately 4,500 people. Over 19 faculties, departments or groups of departments were surveyed.

The number of survey responses from the UCT Institutional Climate Survey 2007 included 1034 completed survey questionnaires out of a total distribution of 3745 or 27% of the total population. Among the academic staff, 443 or 43% of the sample are academic staff. Non-academic staff is identified as Professional, Administrative, and Support Staff (PASS) and is 55% of the total number of completers. *Academic staff* in South African higher education includes those involved in more than 50% of their official time on duty in instructional and research activities. In contrast, those with similar roles in the United States are defined as *faculty* - members in a profession having academic rank in an educational setting or institution.

The researcher conducted content data analysis on quantitative and qualitative responses by academic staff only from the UCT Institutional Climate Study 2007 and responses from faculty members of the Medical Faculty Job Satisfaction Survey 2009 from Neiman University. Content data analysis for qualitative data responses from the UCT Institutional Climate Survey 2007 are not distributed by academic rank and may include responses from professional, administrative, and support staff (PASS). Table 7 provides a breakdown of responses by the sample compared to the population size of staff at UCT serving as a member of the academic staff and the professional, administrative, and support staff (PASS).

Table 7

Breakdown of Respondents from the University of Cape Town Institutional Climate Survey 2007

	Sample			Population		
Departments	Acad	PASS	ALL	Acad	PASS	All
Faculty of Health Sciences	108 (24.4%)	75 (13.3%)	192 (18.6%)	315 (25.0%)	702 (28.4%)	1017 (27.2%)
Faculty of Commerce	54 (12.2%)	26 (4.6%)	80 (7.7%)	127 (10.1%)	90 (3.6%)	217 (5.8%)
Faculty of Law	21 (4.7%)	7 (1.2%)	29 (2.8%)	61 (4.8%)	40 (1.6%)	101 (2.7%)
Faculty of Engineering & the Built Environment	51 (11.5%)	30 (5.3%)	84 (8.1%)	176 (14.0%)	155 (6.3%)	331 (8.8%)
Faculty of Science	68 (15.3%)	63 (11.2%)	131 (12.7%)	216 (17.1%)	253 (10.3%)	469 (12.5%)
Faculty of Humanities	92 (20.8%)	38 (6.7%)	131 (12.7%)	279 (22.1%)	183 (7.4%)	462 (12.3%)
Center for Higher Education Development	23 (5.2%)	23 (4.1%)	46 (4.4%)	65 (5.2%)	48 (1.9%)	113 (3.0%)
Graduate School of Business	8 (1.8%)	18 (3.2%)	26 (2.5%)	22 (1.7%)	83 (3.4%)	105 (2.8%)
Non-Faculty*	6 (1.4%)	268 (47.4%)	279 (27.0%)	0 (0.0%)	914 (37.0%)	914 (24.4%)
Missing	12 (2.7%)	17 (3.0%)	36 (3.5%)	0 (0.0%)	0 (0.0%)	16 (0.4%)
Total	443 (100%)	565 (100%)	1034 (100%)	1261 (100%)	2468 (100%)	3745 (100%)

Note: From the "UCT Institutional Climate Survey 2007 Report", University of Cape Town, South Africa. All do not equal the sum of Academic and PASS due to inclusion of persons whose Academic or PASS status is missing. * Includes all staff from non-faculty departments (e.g. Library, Finance, etc.)

In 2009, the AAMC-COACHE Medical Faculty Job Satisfaction Survey was administered online to full-time faculty members at Neiman University from April through June. Among those surveyed, 356 out of 580 faculty members or 61% were valid completers. Sixty-seven percent of the completers were male which is slightly overrepresented among the total number of male faculty at the institution. Ninety percent of the respondents were classified as *Majority* by race (i.e. White and Asian). Thirty-five subjects or 10% of the sample were Black and classified as *Minority* (see Table 8).

Table 8

Breakdown of Respondents from the AAMC-COACHE Medical Faculty Job Satisfaction Survey 2009

	Valid Completers	Population Size
Total Population	356 (61%)	580
Male	237 (64%)	370
Female	119 (57%)	210
Majority (i.e. White or Asian)	321 (63%)	508
Minority (i.e. Black)	35 (49%)	72

Note: From the "Neiman University Institutional Report, 2009". Copyright by the Association of American Medical Colleges and the President and Fellows of Harvard College. Permission granted for reproduction and distribution, except for the survey instrument.

Instrumentation

The UCT Institutional Climate Survey 2007 is a revision of the 2003 version. It was modified to measure change over a four-year period by facilitating comparison. The survey was funded by an external agency, the Carnegie Corporation of New York. The instrument was presented to senior management and key stakeholders for preliminary

feedback prior to its launch. A revised draft was sent to a panel of academic experts and key stakeholders from UCT prior to distribution. Minor adjustments were made to the instrument before piloting it to a small sample of PASS and academic staff. Additional preliminary steps included a thorough literature review to determine if newer social constructs were more relevant to transformation and employment equity since the administering of the parent survey in 2003. The survey contained 55 items and assessed levels of engagement, perceptions on collegiality, participation and trust, strategic clarity, and the organizational environment. Personal information was also collected for each respondent. The majority of the survey was quantitative. Qualitative data collected included open-ended responses on the best and worst aspects of working at the institution. The final section of the survey invited respondents to make general comments regarding the overall institutional climate.

The Medical Faculty Job Satisfaction Survey 2009 was distributed to 580 full-time faculty members at Neiman University in 2009. The Association of American Medical Colleges (AAMC) and the Collaborative of Academic Careers in Higher Education (COACHE) developed the instrument. The 51-item survey instrument was based on a review of related surveys on faculty and physician job satisfaction, existing literature, in-depth focus groups, cognitive interviews, and a pilot administration (AAMC, 2010). The survey included nine satisfaction domains: (1) nature of work; (2) climate and culture; (3) mentoring and feedback; (4) promotion; (5) compensation and benefits; (6) recruitment and retention; (7) governance and operations; (8) clinical practice; and (9) global satisfaction. Neiman University added 11 customized questions to the survey that were specific to the institution.

The researcher identified six primary research themes congruent to the literature on leadership and social constructs influencing the transformation of higher education. The six primary survey themes are collegiality and collaboration; communication; diversity and equity; governance and strategy; harassment and discrimination; and organizational environment. Data responses were analyzed and compared based on quantified analysis of text content related to these themes.

Hypotheses

The following hypotheses are stated in the form of null and alternate hypotheses:

$H_0$1 (null hypothesis): Perceptions for improving institutional climates among faculty at higher education institutions in the United States are not significantly different from perceptions of academic staff at higher education institutions in South Africa.

H_a1 (alternate hypothesis): Perceptions for improving institutional climates among faculty at higher education institutions in the United States are significantly different from perceptions of academic staff at higher education institutions in South Africa.

$H_0$2 (null hypothesis): Leaders communicating institutional priorities to employees is not related to improving institutional climates.

H_a2 (alternate hypothesis): Leaders communicating institutional priorities to employees is related to improving institutional climates.

$H_0$3 (null hypothesis): Faculty members and academic staff participating in institutional decision-making processes feel valued as employees.

H_a3 (alternate hypothesis): Faculty members and academic staff participating in institutional decision-making processes do not feel valued as employees.

$H_0$4 (null hypothesis): Faculty members and academic staff of marginalized and underrepresented groups do not experience acts of discrimination at the institution.

H_a4 (alternate hypothesis): Faculty members and academic staff of marginalized and underrepresented groups experience acts of discrimination at the institution.

$H_0$5 (null hypothesis): Faculty members and academic staff of marginalized and underrepresented groups do not experience acts of unfair treatment at the institution.

H_a5 (alternate hypothesis): Faculty members and academic staff of marginalized and underrepresented groups experience acts of unfair treatment at the institution.

Data Collection

Data for this study were collected independently of the researcher. A custom web application was developed for the UCT Institutional Climate Survey 2007 in an electronic format. This allowed respondents to complete the survey using the Internet. A temporary web server was installed on the campus network by the research team and responses were automatically secured in a database. Respondents were e-mailed detailed information regarding the research and the URL to complete the survey questionnaire. Participation in the survey was voluntary. A unique user ID was generated which provided a link between each respondent and their questionnaire. All survey questionnaires were presented in English. Administrative sessions conducted by researchers speaking Afrikaans and Xhosa were conducted to assist with translation (UCT Institutional Climate Survey Report, 2007).

The survey questionnaire was distributed to all employees at the University of Cape Town rather than a sample. This method was to enhance anonymity and to increase confidence in the institutional climate process. Respondents were not required to use their names at any stage of the research. IP addresses of the computers used by

respondents were logged for technical reasons but deleted from the system within a week and not used for any other purpose. Respondents using the hard copy survey questionnaires were provided with return envelopes. All respondents were asked to rate survey items using a Likert scale. There were no linkages for individual responses to be traced to respondents. Only the research team had access to the original data. No individual employee had access to the data. Demographic data was requested from respondents. Departments were grouped in the coding process in those categories where employee numbers were small.

The Medical Faculty Job Satisfaction Survey was administered electronically at Neiman University from April to June 2009. All respondents completed the survey online. Subjects received e-mails from senior administration regarding the survey prior to its official launch. All subjects then received an invitation to participate, which contained a unique and confidential survey link. The individualized weblink included an invitation describing the purpose of the research study (Bunton, Corrice, & Mallon, 2010). All responses were confidential. Reminder e-mails were sent to non-completers over the course of the survey period. Respondents were asked to rate survey items using Likert scale items on satisfaction (very dissatisfied to very satisfied) and agreement (strongly disagree to strongly agree). The survey contained importance scale items and yes or no questions. For interpretation ease, the research team collapsed the 5-point Likert scales into three categories (e.g. satisfied or very satisfied, neither satisfied nor dissatisfied, and dissatisfied or very dissatisfied). Non-responders received up to three messages reminding them to complete the survey. The Committee on the Use of Human Subjects at Harvard University approved the study and research protocol.

Data Analysis

Secondary data analysis is the re-analysis of data for the purpose of answering the original research question with better statistical techniques or answering new questions with old data (Glass, 1976). This form of analysis was appropriate for this research. Data presented representative samples at each institution. Reliable survey instruments to assess dimensions of institutional climates were relative to this research. Content analysis was the primary method used to analyze the data collected from the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University and the UCT Institutional Climate Survey 2007 administered at the University of Cape Town.

Descriptive statistics is used to assess significant differences between survey responses grouped in similar or equivalent social constructs or themes. Table 9 identifies how each survey instrument grouped survey items by themes for assessing institutional climates. Cross-tabulations and related bar charts were created by race x gender x job role and by race x gender x job role x survey construct (i.e. collegiality, communication) to demonstrate responses by institution. Data responses were analyzed using inductive content analysis. All data was coded and transformed into categorical themes based on similar phrases, relationships, and commonalities. Identifiable patterns in the data analysis established a small set of generalizations from this research.

Table 9

Survey Items Grouped by Social Constructs (Themes) Measured by Neiman University and the University of Cape Town

Neiman University	University of Cape Town
Nature of Work (24)	Fairness (4)

Table 9 (continued).

Climate, Culture, Collegiality (19)	Collegiality (5)
Collaboration, Mentoring, Feedback (9)	Rewards and Recognition (3)
Promotion (13)	Participation and Trust (4)
Compensation, Benefits (13)	Communication (2)
Faculty Recruitment and Retention (10)	Strategic Clarity (3)
Governance and Operations (15)	Organizational Environment (5)
Clinical Practice (12)	Commitment (3)
Global Satisfaction (4)	Systems, Equipment and Training (3)
Best and Worst Aspects (Open ended questions)	Diversity and Equity (12)
	Harassment and Discrimination (Specific items, a-l) (12)
	Best and Worst Aspects (Open ended questions)

Note: The number in parentheses is the total number of questions by theme.

Reliability and Validity

Independent research teams developed each survey instrument. Experts in survey design, academic medicine, talent management, and organizational development developed the Medical Faculty Job Satisfaction Survey. The Association of American Medical Colleges (AAMC) partnered with the Collaborative on Academic Careers in Higher Education (COACHE) at the Harvard Graduate School of Education to create the survey instrument. The diagnostic and comparative management tool was customized to the medical school environment. The research team began with conducting focus groups with medical school faculty to elicit information on what comprises workplace and career satisfaction. Subsequent phases included developing the Medical Faculty Job Satisfaction Survey tool, testing the survey tool at pilot schools, creating benchmarking reports, and comparative analyses (Bunton, 2006). The national rollout of the survey

questionnaire was in 2007. Benchmarking reporting was available to all medical schools in the United States for use in institutional assessment, peer benchmarking, and comparison to national satisfaction data.

The UCT Institutional Climate Survey 2007 Report described the development of the climate barometer to determine the reliability and validity of the survey instrument. A Burt matrix of the variables was constructed and mapped to reveal the presence of a continuum. Weights were placed on variables to create a composite score that fell between 0 and 100 for each respondent. The continuum ranged from having negative views of life at UCT to holding positive views. Respondents with composite scores closer to 0 valued the institutional climate less favorably than those with scores closer to 100 that view the climate of the institution more favorably. The climate barometer was reduced to 25 variables. Variables weighing low with similar meanings were deleted. Data reduction was statistical and theoretical. For example, a variable that had a low weight was retained because of its contribution to the validity of the barometer.

Study Limitations

One major disadvantage of secondary data analysis is obtaining inherited information from other sources. Data collected may not answer specific research questions, in particular information that the researcher would like to have but may not have been collected (Boslaugh, 2007). For this study, secondary documentation and data analysis was relied upon regarding the survey development and methodologies used. The secondary data retrieved included minimal raw data, summaries of findings, and data tables regarding the responses from subjects surveyed at each institution. These limitations required the researcher to make inferences related to the findings. For example, responses from professional, administrative, and support staff (PASS) is not

distinguished in the qualitative data. It was difficult to sort responses from academic staff only based upon response groupings.

Research staff is included in all data analysis of *academic staff* at UCT. This grouping is consistent with data reported by the Department of Education in South Africa that consistently identifies three unique job classifications in the higher education sector. These include:

1. "instruction/research staff" (also referred to as academic staff) which are those who spend more than 50% of their official time on duty on instruction and research activities;
2. the category of "administrative staff" which includes all executive and professional staff who spend less than 50% of their official time on duty on instruction and research activities, as well as all technical and office staff; and
3. the category "service staff" includes all staff, such as cleaners, gardeners, security guards and messengers, who are not engaged in supervisory or administrative functions linked to an office (Department of Education, 2010, p. 41).

A second example of a limitation is a question in the Medical Faculty Job Satisfaction Survey that asks about the level of satisfaction or dissatisfaction regarding individual contributions in "administration". The assumption is that respondents to this question are administrators of sort but it not clear to what extent. Respondents are asked if they hold administrative titles in the demographic section of the survey. This data is not available to the researcher. It can be assumed that this demographic information was not revealed in the data report to ensure anonymity due to the limited number of

responses if sorted by race, gender, or job role. Chapter IV will provide the complete data analysis and findings.

CHAPTER IV

ANALYSIS OF DATA

This chapter is divided into five sections. The researcher provides a detailed summary of the sample of respondents from the AAMC-COACHE Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University and the UCT Institutional Climate Survey 2007 administered at the University of Cape Town in the first section. Demographics of survey respondents and data results from each study were available to the researcher in hard copy format. The second part describes how survey responses were grouped with primary research themes relating to institutional climates. The researcher extracted data responses from specific survey items and themes relevant to this research. Quantitative and qualitative findings are presented in the third and fourth sections of this chapter. Findings include detailed analyses of percentages and comparisons of survey responses by specific research themes and subthemes. Subsections include responses grouped with the themes collegiality and collaboration, communication, diversity and equity, governance and strategy, harassment and discrimination, and organizational environment. The researcher grouped majority of the data by race, gender, and academic rank. The final section of this chapter summarizes data and aligns results with each hypothesis.

Survey Respondents

The percentage of survey completers from Neiman University was 61% compared to 35% of completers at the University of Cape Town (UCT). The researcher analyzed demographic data from the data reports. Comparisons were made using demographics of the intended survey population to the sample of survey completers at each institution.

The University of Cape Town presented demographic data of academic staff and professional, administrative, and support staff (PASS). The researcher used only the responses from academic staff at UCT for comparative research purposes and research consistency. Responses to survey items in categories where staff numbers are small are grouped together in the coding to ensure anonymity. For the purposes of this research, members of faculty or academic staff grouped by race are labeled "majority" for those populations with the greatest number in one or more races. Faculty or academic staff labeled "minority" are those populations with a smaller number in a given race.

There are more Whites than any other race at Neiman University. Whites and Asians are labeled "majority faculty" in the data analysis for Neiman University. Subjects labeled "minority faculty" at Neiman University include Black faculty members. Whites also continue to dominate the academic staff at UCT although Africans, Coloureds, and Indians have the highest percentages of total employees by race combined at the University of Cape Town. Within this data analysis, Whites classified as academic staff members at the University of Cape Town are labeled "majority academic staff." "Minority academic staff" at the University of Cape Town is grouped as African and Coloured and Indian. Coloured and Indian are grouped together in this analysis.

Table 10 presents the number of respondents and completion rates by gender and job role. Male responders are slightly overrepresented in the sample from the study administered at Neiman University and women are underrepresented. By race, Whites and Asians (i.e. majority faculty) are slightly overrepresented. In contrast, Blacks (i.e. minority faculty) are slightly underrepresented in the sample. Responses among faculty members by academic rank are grouped as junior faculty and senior faculty in the data

report of the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University.

Data responses in this analysis are broken down by academic rank and faculty type at Neiman University include faculty member responses by "junior faculty" and "senior faculty." Responses by junior faculty members are those with titles of assistant professor including titles such as research assistant professor, clinical assistant professor, etc. Responses by senior faculty members are associate professors and full professors, including those with titles as research associate professor, clinical associate professor, research professor, clinical professor, etc. Responses by faculty members classified as basic science and clinical are also included in the data report. The researcher only analyzed data responses presented by race, gender, and academic rank for research consistency and comparison purposes.

Table 10

Sample of Respondents and Completion Rates of the AAMC-COACHE Medical Faculty Job Satisfaction Survey 2009 at Neiman University

	Sample, n=356		Population, n=580	
	Number	Percentage	Number	Percentage
Males	237	67%	370	64%
Females	119	33%	210	36%
Majority Faculty (i.e. Whites and Asians)	321	90%	508	88%
Minority Faculty (i.e. Black)	35	10%	72	12%

Note: From "Neiman University Institutional Report", 2009, The Association of American Medical Colleges and the President and Fellows of Harvard College.

At the University of Cape Town, academic staff is overrepresented in the sample of those who completed the survey (see Table 11). Tables 12 and 13 demonstrate the breakdown of the total sample of responses by gender and race. Women are slightly overrepresented compared to the total population at the institution. Minority academic staff is underrepresented in the sample.

Table 14 is a breakdown of academic staff only and by academic rank. "Senior academic staff" are associate professors and professors and are overrepresented in the sample. "Junior academic staff" include lecturers and research staff as categorized on the survey questionnaire.

Table 11

Sample of Respondents and Population Size of the UCT Institutional Climate Survey 2007 at the University of Cape Town by Employment Status

	Sample, n=1034		Population, n=3745	
	Number	Percentage	Number	Percentage
Academic Staff	443	43%	1268	34%
Professional, Administrative, Support Staff (PASS)	565	55%	2475	66%
Missing	26	3%	2	0%

Note: From "UCT Institutional Climate Survey 2007 Report", The University of Cape Town, South Africa. Percentages are rounded to the nearest one.

Table 12

Sample of Respondents and Population Size of the UCT Institutional Climate Survey 2007 at the University of Cape Town by Gender

	Sample, n=1034		Population, n=3745	
	Number	Percentage	Number	Percentage
Male	411	40%	1620	43%
Female	605	59%	2125	57%
Missing	18	2%	0	0%

Note: From "UCT Institutional Climate Survey 2007 Report", The University of Cape Town, South Africa. Percentages are rounded to the nearest one.

Table 13

Sample of Respondents of the UCT Institutional Climate Survey 2007 at the University of Cape Town by Race and Population Size of UCT (All employees)

	Sample, n=1034		Population, n=3745	
	Number	Percentage	Number	Percentage
Whites	546	53%	1452	39%
African, Coloured and Indian	335	33%	1809	49%
Foreign	74	7%	402	11%
Other	48	5%	14	0%
Missing	31	3%	68	2%

Note: From "UCT Institutional Climate Survey 2007 Report", The University of Cape Town, South Africa. Percentages are rounded to the nearest one. African, Coloured and Indian staff are considered the majority races at the institution among all employees. A significantly higher percentage of academic staff is White at UCT and is labeled as the "majority" for this research.

Table 14

Sample of Respondents and Population Size of the UCT Institutional Climate Survey 2007 at the University of Cape Town by Academic Rank

	Sample, n=1034		Population, n=1351	
	Number	Percentage	Number	Percentage
Junior Academic Staff (i.e. Senior Lecturer, Lecturer, Research Staff)*	236	54%	934	69%
Senior Academic Staff (i.e. Associate Professor and Professor)	176	40%	417	31%
Missing	31	7%	0	0%

Note: From "UCT Institutional Climate Survey 2007 Report", The University of Cape Town, South Africa. Percentages are rounded to the nearest one. *Members of the academic staff in South Africa do not hold the title of Assistant Professor.

Survey Responses Grouped by Survey Themes

The researcher recoded themes from survey data reports to fit into one of six primary themes specific to this research. Chapter III explains why the researcher selected these themes. The six primary survey themes are: (1) Collegiality and Collaboration; (2) Communication; (3) Diversity and Equity; (4) Governance and Strategy; (5) Harassment and Discrimination; and (6) Organizational Environment. The researcher identified considerable overlap in the survey themes, subthemes, and data responses while conducting the data analysis (see Table 15).

Quantitative and qualitative data responses related to each primary theme are described in this chapter. The researcher compared research findings from the AAMC-COACHE Medical Faculty Job Satisfaction Survey 2009 (AAMC, 2009) to the UCT Institutional Climate Survey 2007 (UCT Institutional Climate Survey Report, 2007).

Data from select survey items are compared to provide a thorough comparative data analysis by race, gender, and job role. Survey items that are not congruent with this research or not similar to survey items on the comparable survey questionnaire are not included in the data analysis. Examples include survey items relating to clinical practice or specific feelings about students.

The original intent of the researcher was to compare data responses from only academic staff in the Faculty of Health Sciences at UCT responding to the UCT Institutional Climate Survey 2007 to faculty member responses from the AAMC-COACHE Medical Faculty Job Satisfaction Survey 2009. It is noted in the executive summary of the UCT Institutional Climate Survey 2007 Report that staff from the Faculty of Health Sciences is underrepresented in the sample. It is also noted that all findings be interpreted with caution as they represent categories that contain a very small number of responses. The UCT Institutional Climate Survey 2007 Report provided data results in aggregate form to ensure anonymity. The researcher used data responses from the entire survey sample instead of a portion of responses from a select Faculty. The data report limited the ability of the researcher to statistically manipulate data responses by staff from any single Faculty by gender, race, and job role differentiation. Raw data was not available to the researcher.

Qualitative data responses from two similar survey items from each survey are provided in the data analysis. Qualitative survey items asked respondents to identify the three best and three worst aspects of working at the respective institution. The researcher coded text responses for each question and grouped them with one of the six primary themes for this research. Direct quotations and a summary of responses are offered in this chapter.

Table 15 demonstrates how survey items were grouped with primary themes relevant to this research. The Medical Faculty Job Satisfaction Survey 2009 and the UCT Institutional Climate Survey 2007 grouped survey items under specific survey themes. The researcher reviewed each survey questionnaire and compared content of survey items. Significant overlap was identified between survey items from each questionnaire. The researcher recoded items from each survey and grouped them with relatable primary themes for this research.

Table 15

Recoded Survey Themes from the AAMC-COACHE Medical Faculty Job Satisfaction Survey 2009 and the UCT Institutional Climate Survey 2007

	Neiman University AAMC-COACHE Medical Faculty Job Satisfaction Survey 2009 Survey Themes	University of Cape Town UCT Institutional Climate Survey 2007 Survey Themes
Collegiality and Collaboration	Climate, Culture and Collegiality[1] Collaboration, Communication and Feedback[2] Nature of Work[3] Promotion[4]	Collegiality[8] Commitment
Communication	Collaboration, Communication and Feedback[2] Governance and Operations[5] Custom Question[7]	Communication
Diversity and Equity	Climate, Culture and Collegiality[1] Promotion[4] Recruitment and Retention[6]	Diversity and Equity Fairness[9] Collegiality[8]
Governance and Strategy	Governance and Operations[5] Recruitment and Retention[6] Promotion[4]	Participation and Trust Strategic Clarity
Harassment and Discrimination	No related theme/No survey items identified	Harassment and Discrimination

Table 15 (continued).

Organizational Environment	Nature of Work[3] Compensation and Benefits Global Satisfaction	Rewards and Recognition Organizational Environment Systems, Equipment and Training Fairness[9]
Best and Worst Aspects*	Best and Worst Aspects	Best and Worst Aspects

Note:

1 Overlap in survey content identified in the primary themes "Collegiality and Collaboration" and "Diversity and Equity".

2 Overlap in survey content identified in the primary themes "Collegiality and Collaboration" and "Communication".

3 Overlap in survey content identified in the primary themes "Collegiality and Collaboration" and "Organizational Environment".

4 Overlap in survey content identified in the primary themes "Collegiality and Collaboration" and "Governance and Strategy".

5 Overlap in survey content identified in the primary themes "Communication" and "Governance and Strategy".

6 Overlap in survey content identified in the primary themes "Diversity and Equity" and "Governance and Strategy".

7 "Neiman University" customized a question related to the theme "Diversity and Equity" for inclusion in the Medical Faculty Job Satisfaction Survey 2009.

8 Overlap in survey content identified in the primary themes "Collegiality and Collaboration" and "Diversity and Equity".

9 Overlap in survey content identified in the primary themes "Diversity and Equity" and "Organizational Environment".

* Qualitative survey items.

Findings

Content Analysis of Survey Themes - Quantitative

This section provides summaries of quantitative data from responses to the Medical Faculty Job Satisfaction Survey 2009 at Neiman University and the UCT Institutional Climate Survey 2007 at the University of Cape Town. Data results are grouped in subsections by primary research theme and grouped by race, gender, and job role.

Collegiality and Collaboration

The researcher categorized survey themes of the Medical Faculty Job Satisfaction Survey 2009 at Neiman University and the UCT Institutional Climate Survey 2007 at the University of Cape Town that are closely related to *Collegiality and Collaboration*. Survey items relating to general aspects of an overall atmosphere of collegiality, cooperation, and collaboration is asked in the surveys administered at each institution then compared.

Data responses from faculty members responding to the Medical Faculty Job Satisfaction Survey 2009 at Neiman University agreed by 68% that the workplace culture promotes collegiality. This survey item is labeled 21A. Respondents used a 5-point Likert scale to measure their feelings. Scale selections are: "strongly agree," "agree," "neither," "disagree," and "strongly disagree."

Male faculty members (13% or 29 out of 232 responses) disagreed slightly more than female faculty members (six percent or 7 out of 115 responses) that the workplace culture promotes collegiality. Black or minority faculty members (71% or 25 data responses out of 35) agreed slightly more than White and Asian faculty members or majority faculty members (67% or 209 data responses out of 312) that workplace culture promotes collegiality. By academic rank, junior faculty members or assistant professors (69% or 76 out of 110 responses) agreed slightly more than senior faculty members or associate professors and professors (64% or 126 out of 197 responses). Equally, junior and senior faculty members (22% or 67 out of a combined total of 307 responses) "neither agreed or disagreed" with this survey item.

Collaboration at Neiman University was measured by the researcher averaging responses to three survey items assessing levels of satisfaction with opportunities to

collaborate with faculty members at the institution. The survey items are labeled as 23B, 24B, and 25B in the Medical Faculty Job Satisfaction Survey 2009 and are treated as one dimension. A 5-point Likert scale was used as the measurement tool. Scale selections are: "very satisfied," "satisfied," "neither," "dissatisfied," and "very dissatisfied."

Forty-seven percent of all faculty members are satisfied with opportunities to collaborate with faculty at the institution. Female faculty members (48% or 167 out of 348 combined responses) are slightly more satisfied than male faculty members (46% or 318 out of 688 combined responses) with collaboration opportunities at Neiman University. By race, majority faculty members (47% or 441 out of 931 combined responses) agreed more than minority faculty members (42% or 44 out of 105 combined responses) with collaboration opportunities at Neiman University. Junior faculty members (50% or 165 out of 333 combined responses) are more satisfied than senior faculty members (43% or 250 out of 583 combined responses) with the opportunities for collaboration with faculty members at Neiman University. Table 16 shows levels of satisfaction with opportunities for collaborating with faculty members at the institution. Responses to questions 23B, 24B, and 25B on the Medical Faculty Job Satisfaction Survey 2009 are presented in the table by gender, race, and academic rank. The combined average of responses is in the last column.

Table 16

Levels of Satisfaction with Collaboration Opportunities at Neiman University by Gender, Race, and Academic Rank

	With Faculty in the Department	With Faculty in the School	With Faculty in Other Schools or Colleges	Average Percentage of Responses

Table 16 (continued).

All Faculty	65%	45%	31%	47%
Male Faculty	61%	45%	33%	46%
Female Faculty	71%	44%	29%	48%
Majority Faculty	64%	45%	32%	47%
Minority Faculty	71%	35%	20%	42%
Junior Faculty	69%	49%	31%	50%
Senior Faculty	58%	39%	32%	43%

Note: From "Neiman University Institutional Report, 2009", The Association of American Medical Colleges and the President and Fellows of Harvard College. Percentages are rounded to the nearest one.

A comparable survey item relating to collaboration was asked in the UCT Institutional Climate Survey 2007 administered at the University of Cape Town. This survey item is labeled 1.6 on the survey questionnaire. The tool used to measure cooperation and collaboration at UCT is a 5-point Likert scale. Scale selections are: "strongly agree," "agree," "neutral," "disagree," and "strongly disagree." Academic staff is almost equally divided between those that agree that an atmosphere of cooperation and collaboration exists at UCT (34% or 151 out of 440 responses) and those that disagree (35% or 154 out of 440 responses). Thirty-one percent of academic staff is neutral to this survey item. By race and gender, no African females agreed that an atmosphere of cooperation exists at UCT (0 out of 5 responses). Higher percentages of majority academic staff agreeing with this statement are White males (43% or 64 out of 150 responses) and White females (37% or 47 out of 127 responses). By academic rank, junior academic staff (40% or 93 out of 235 responses) disagreed that cooperation and

collaboration exists at UCT compared to of senior academic staff (29% or 51 out of 175 responses).

Mutual respect and relationships were measured and compared as part of the primary theme *Collegiality and Cooperation*. Likert scales were used to measure responses to survey items from the Medical Faculty Job Satisfaction Survey 2009 and the UCT Institutional Climate Survey 2007. Scale selections range from "very satisfied" to "very dissatisfied" and "strongly agree" to "strongly disagree."

Data responses specific to quality interaction and relationships with colleagues were analyzed. These survey items are labeled 18B and 18C in the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University. Survey items are measured as one dimension.

Seventy-five percent of all faculty members are satisfied with the quality of interaction with colleagues (see Figure 4). Male faculty members (10% or 47 out of 464 combined responses) are slightly more dissatisfied than female faculty members (6% or 13 out of 234 combined responses) with these statements. Majority faculty members (9% or 56 out of 628 combined responses) are also slightly more dissatisfied than minority faculty members (6% or 4 out of 70 combined responses). Differences in the levels of satisfaction were also identified by academic rank. Senior faculty members (nine percent or 35 out of 396 combined responses) are slightly more dissatisfied than junior faculty members (8% or 18 out of 222 combined responses (see Figure 5).

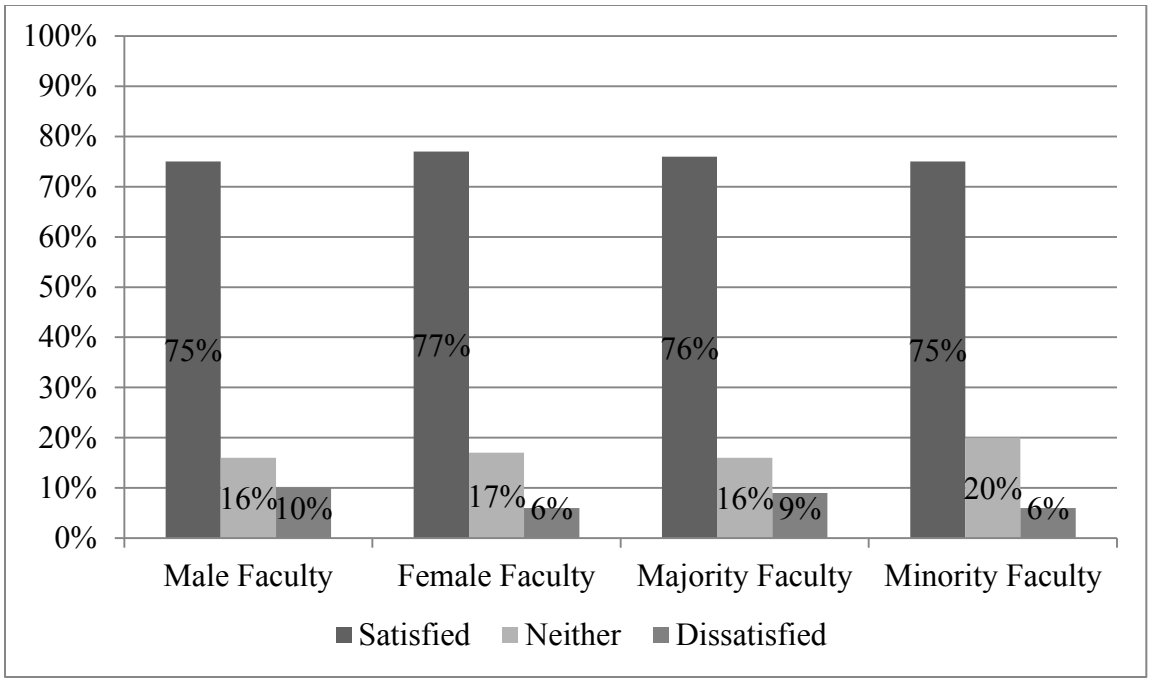

Figure 4. Levels of Satisfaction with Quality Interactions and Relationships with Colleagues by Gender and Race. Percentages are calculated using data responses from the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University.

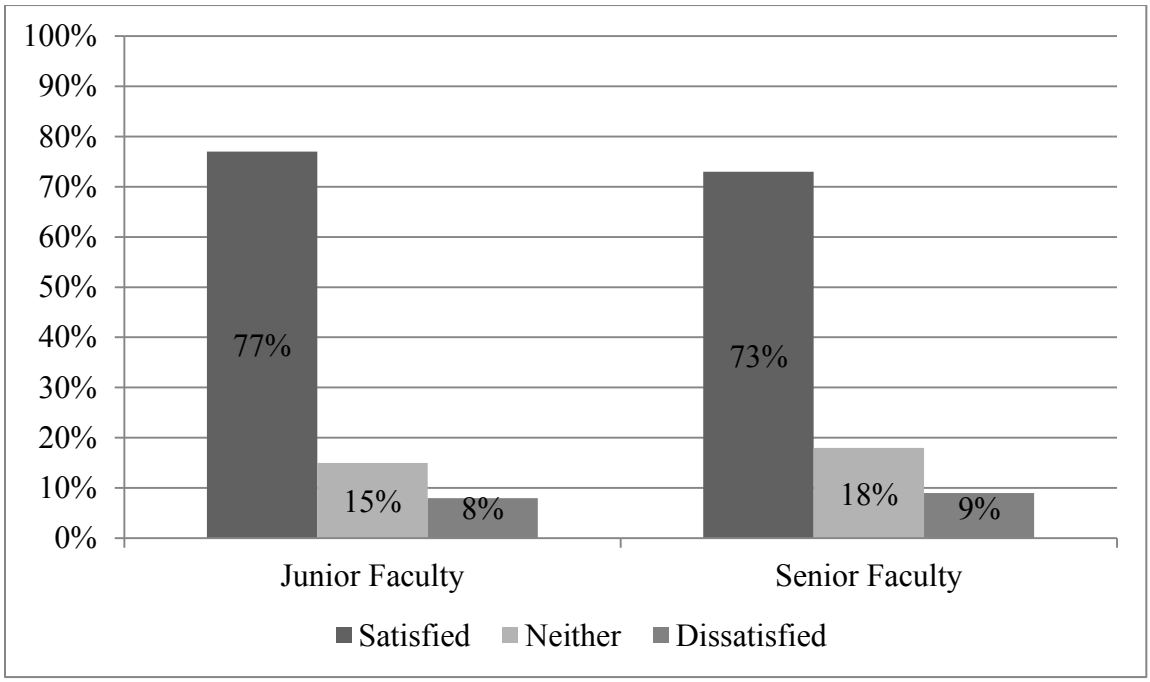

Figure 5. Levels of Satisfaction with Quality Interactions and Relationships with Colleagues by Academic Rank. Percentages are calculated using data responses from the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University.

The UCT Institutional Climate Survey 2007 measured levels of satisfaction with relationships with colleagues. Survey items are labeled 1.8 and 1.9 and treated as one dimension in the data analysis. Responses were measured using a 5-point Likert scale. Scale selections are: "strongly agree," "agree," "neutral," "disagree," and "strongly disagree." Academic staff responding to these survey items agreed by 69% that they are satisfied with relationships with staff. Academic staff members with the highest levels of disagreement by race and gender include African males (55% or 12 out of 22 combined responses) and Coloured and Indian females (47% or 28 out of 59 responses) (see Figure 6). Senior academic staff (53% or 182 out of 347 combined responses) agreed more than junior academic staff (47% or 215 out of 454 combined responses) that they are satisfied with relationships with colleagues (see Figure 7).

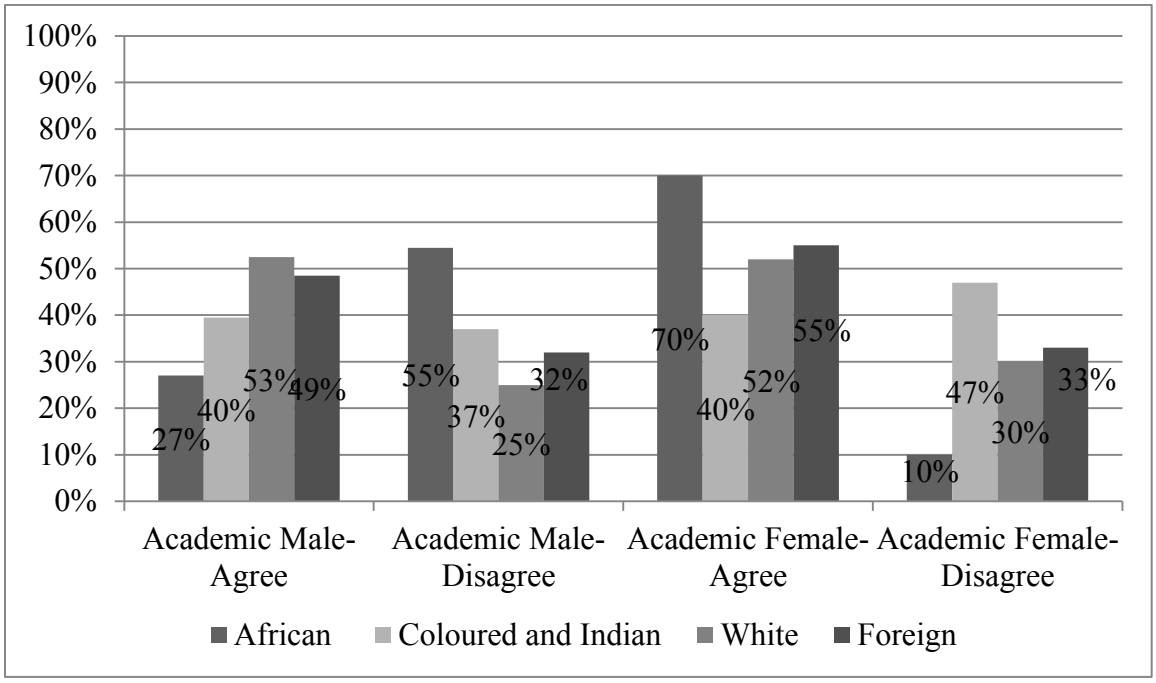

Figure 6. Levels of Agreement that Academic Staff is Satisfied with Relationships with Colleagues by Race and Gender. Percentages are calculated using data responses from the UCT Institutional Climate Survey 2007 administered at the University of Cape Town.

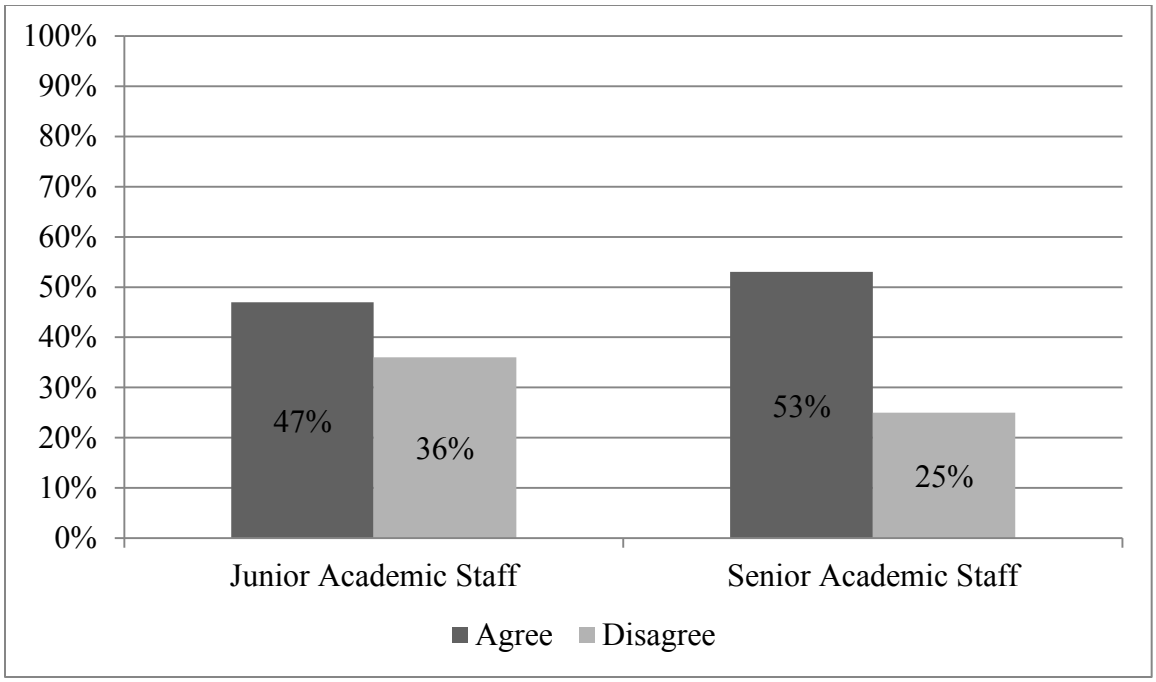

Figure 7. Levels of Agreement that Academic Staff is Satisfied with Relationships with Colleagues by Academic Rank. Percentages are calculated using data responses from the UCT Institutional Climate Survey 2007 administered at the University of Cape Town.

Overall, females, minority (e.g. underrepresented race) faculty members or academic staff, and junior faculty members had lower levels of satisfaction with collaboration and relationship with colleagues.

Communication

Male and senior faculty members and academic staff at Neiman University and The University of Cape Town are less satisfied than females with communication by university management. By race, White faculty and academic staff at each institution are more satisfied than other races with communication from university management. Below is a complete summary of quantitative findings from survey items related to the primary research theme *Communication*.

The first set of responses from survey items related to communication were analyzed and compared to describe levels of satisfaction on the effectiveness of

communication by senior leadership or managerial staff. Survey items in the questionnaire administered at Neiman University are labeled 41B and 41F. Respondents used a 5-point Likert scale to answer each item. Scale selections are: "very satisfied," "satisfied," "neither," "dissatisfied," and "very dissatisfied." Comparable survey items relating to communication in the UCT survey questionnaire are labeled 1.17 and 1.18. A 5-point Likert scale was used to answer each item. Scale selections are: "strongly agree," "agree," "neutral," "disagree," and "strongly disagree."

Faculty members surveyed at Neiman University indicated that they are satisfied with the communication from the office of the dean (47% or 163 out of 344 responses). For clarity, the dean at Neiman University is the highest executive officer at the university (i.e. chief executive officer or CEO). The second highest number of responses is in the category "neither" (29% or 99 out of 344 responses). Male faculty members (45% or 102 out of 229 responses) are slightly less satisfied than female faculty members (53% or 61 out of 115 responses). By race, minority or Black faculty members (43% or 15 out of 35 responses) are less satisfied with communication from the dean compared to majority or White and Asian faculty members (48% or 148 out of 309 responses) (See Figure 8). Junior faculty members (54% or 60 out of 111 responses) are more satisfied than senior faculty members (40% or 79 out of 194 responses) with communication from the office of the dean. Equally, 31% of the responses by both junior and senior faculty members are "neither satisfied or dissatisfied" with the communication from the office of the dean.

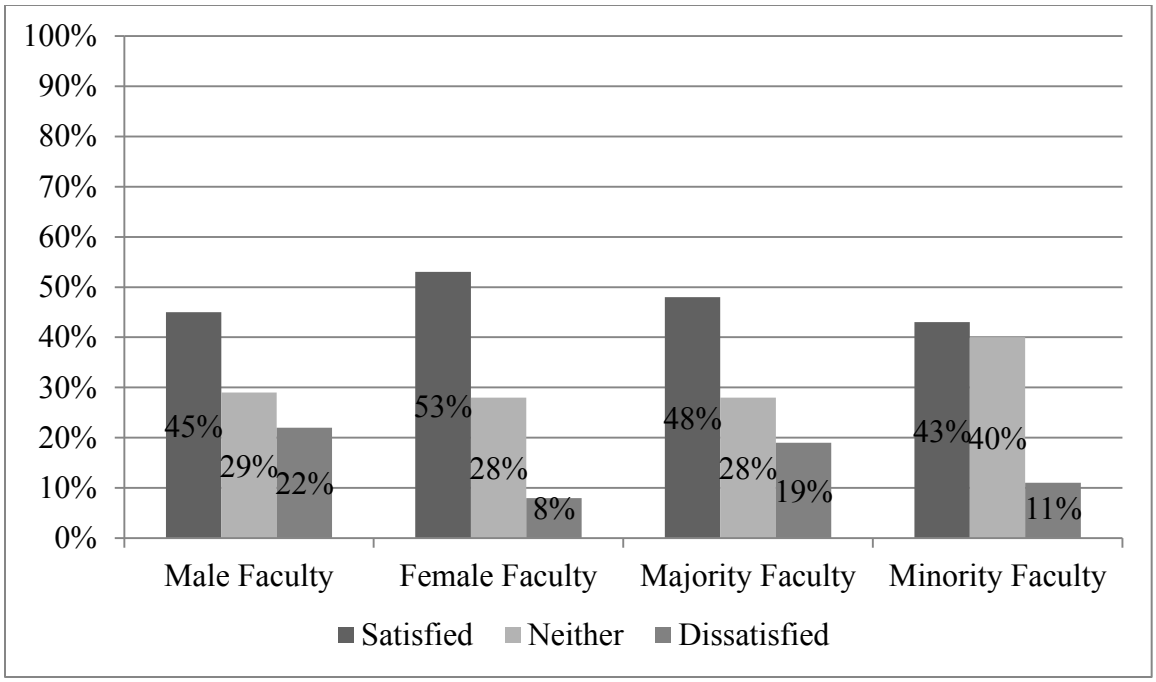

Figure 8. Levels of Satisfaction with Communication from the Dean by Gender and Race. Percentages are calculated using data responses from the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University.

Sixty-seven percent of all faculty members responding to survey item 41F are satisfied with communication from their respective department chairs about the department. More female faculty members (71% or 81 out of 115 responses) than male faculty members (67% or 151 out of 227 responses) are satisfied with communication from the department chair. Minority faculty members (58% or 20 out of 34 responses) are less satisfied with the communication from respective department chairs compared to majority faculty members (69% or 212 out of 308 responses). By academic rank, junior faculty members (73% or 80 out of 110 responses) are more satisfied with communication from department chairs than senior faculty members (64% or 123 out of 193 responses) (see Figure 9).

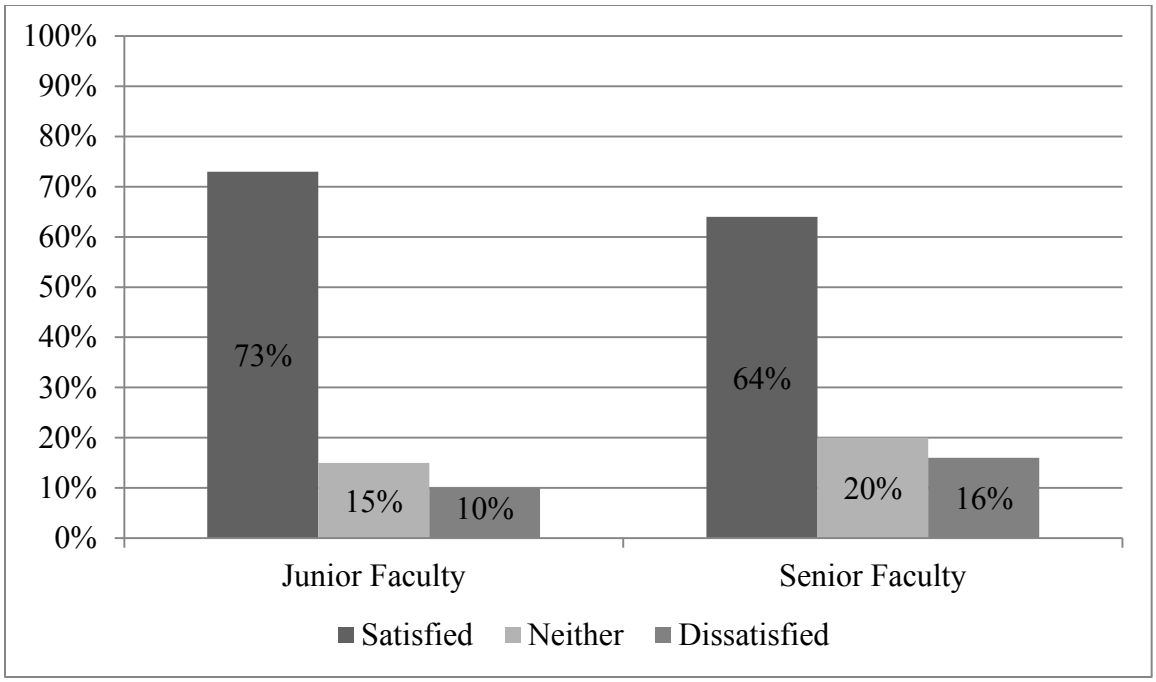

Figure 9. Levels of Satisfaction with Communication from the Department Chair by Academic Rank. Percentages are calculated using data responses from the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University.

The UCT Institutional Climate Survey 2007 measured communication effectiveness of UCT management and communication frequency. Survey items are labeled 1.17 and 1.18. Responses were measured using a 5-point Likert scale. Scale selections are: "strongly agree," "agree," "neutral," "disagree," and "strongly disagree." Among 440 academic staff members responding to survey item 1.17, 28% disagreed that university management communicates effectively compared to 38% that agreed. Among academic staff, higher percentages of Coloured and Indian females (45% or 14 out of 31 responses) and White females (43% or 55 out of 127 responses) feel that university management communicates effectively. In comparison, foreign females (53% or 10 out of 19 responses) disagreed that management communicates effectively. Higher percentages are among White males (37% or 7 out of 19 responses) that agreed that university management communicates effectively compared to the lowest percentage by

African males (27% or 3 out of 11 responses). By academic rank, junior academic staff and senior academic staff are almost equal in the number of responses in agreement and disagreement that UCT management communicates effectively (see Figure 10).

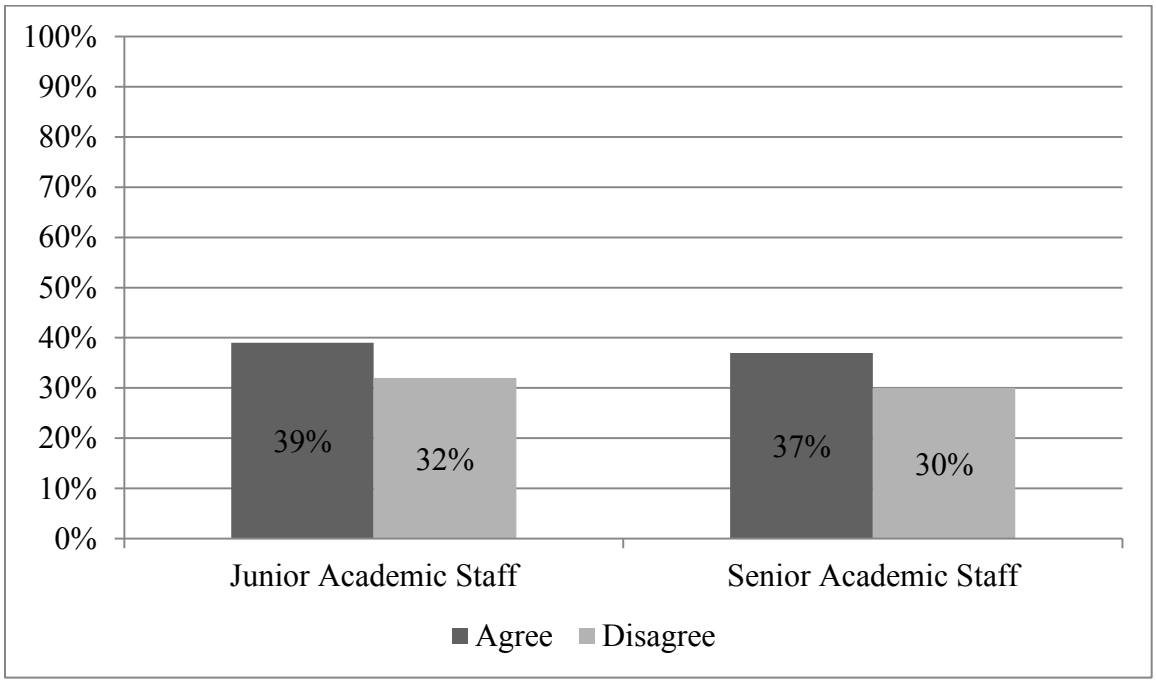

Figure 10. Levels of Agreement that UCT Management Communicates Effectively with Staff by Academic Rank. Percentages are calculated using data responses from the UCT Institutional Climate Survey 2007 administered at the University of Cape Town.

Survey item 1.18 of the UCT Institutional Climate Survey 2007 measured regular and open communication among all staff at UCT. Forty-six percent of academic staff responding to this survey item disagreed that there is regular and open communication at UCT (205 out of 441 responses). Male academic staff (56% or 120 out of 213 responses) agreed slightly more than female academic staff (52% or 95 out of 183 responses). The percentage of respondents by race and gender disagreeing that there is regular and open communication between staff is highest among foreign females (74% or14 out of 19 responses). African females are the highest group by race and gender agreeing with this statement (80% or 4 out of 5 responses). Fifty-one percent of junior academic staff (131

out of 236 data responses) disagreed that there is regular and open communication amongst staff at UCT. In contrast, 61% of senior academic staff (106 out of 175 responses) agreed with this statement.

Diversity and Equity

Neiman University measured equal opportunities (fairness) offered to faculty members regardless of gender, race/ethnicity, and sexual orientation using the Medical Faculty Job Satisfaction Survey 2009. Survey items are labeled 22A, 22B, and 22C. These survey items are treated as one dimension in the data analysis. Questions related to equal opportunities are specific to promotion practices and labeled 34B and 34C. A 5-point Likert scale measured the responses. Scale selections include: "strongly agree," "agree," "neither," "disagree," and "strongly disagree." The researcher averaged responses of survey items specific to questions measuring equal opportunities for faculty regardless of gender, race/ethnicity, and sexual orientation.

Seventy percent of all faculty members surveyed agreed that Neiman University offers equal opportunities regardless of gender, race/ethnicity, and sexual orientation (survey items 22A, 22B, and 22C combined). Male faculty members (70% or 476 out of 693 combined responses) agreed equally with female faculty members (70% or 247 out of 351 combined responses) that the institution offers equal opportunities regardless of gender, race/ethnicity, and sexual orientation. By race, majority or White and Asian faculty members (72% or 678 out of 939 combined responses) agreed more with these statements than minority or Black faculty members (52% or 55 out of 105 combined responses) (see Figure 11). Junior faculty members and senior faculty members agreed equally that the institution offers equal opportunities regardless of gender, race/ethnicity, and sexual orientation (see Figure 12).

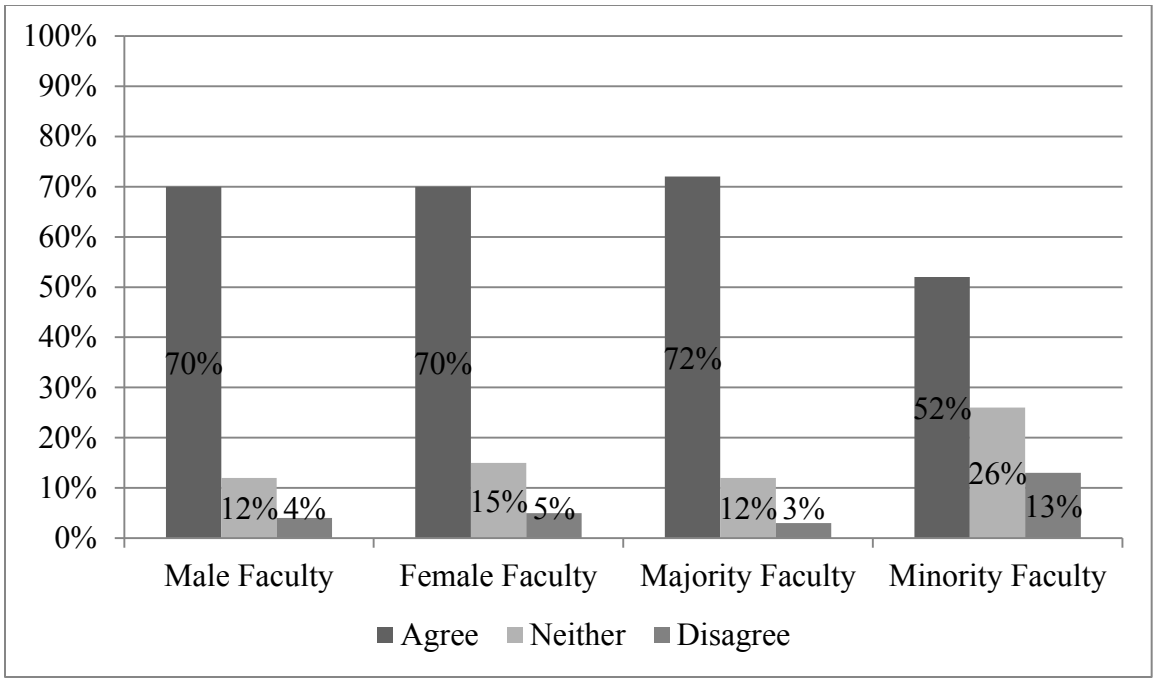

Figure 11. Levels of Agreement of Equal Opportunities Offered at Neiman University without regards to Gender, Race/Ethnicity, and Sexual Orientation. Responses are grouped by gender and race. Percentages are calculated using data responses from the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University.

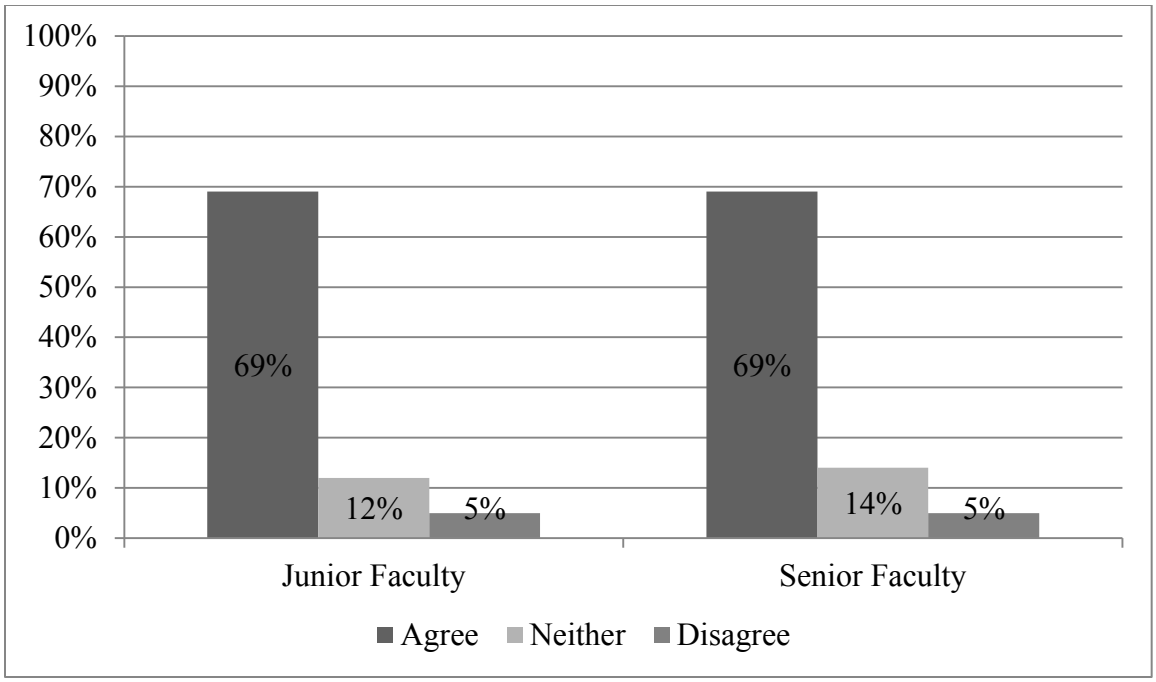

Figure 12. Levels of Agreement of Equal Opportunities Offered at Neiman University without regards to Gender, Race/Ethnicity, and Sexual Orientation by Academic Rank. Percentages are calculated using data responses from the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University.

Fair promotion practices based on gender and race were measured in the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University. Survey items are labeled 34B and 34C. For survey item 34B, 62% of responses by all faculty members responding to this survey item agreed that female and male faculty members have equal opportunities to be promoted in rank (214 out of 345 responses). Responses by gender demonstrate that male faculty members (65% or 147 out of 229 responses) agreed more than female faculty members (58% or 67 out of 116 responses). Majority or White and Asian faculty members (64% or 198 out of 310 responses) agreed that female and male faculty members have equal opportunities to be promoted in rank compared to minority or Black faculty members (46% or 16 out of 35 responses). Figures 13 and 14 show response rates to survey item 34B by gender, race, and academic rank.

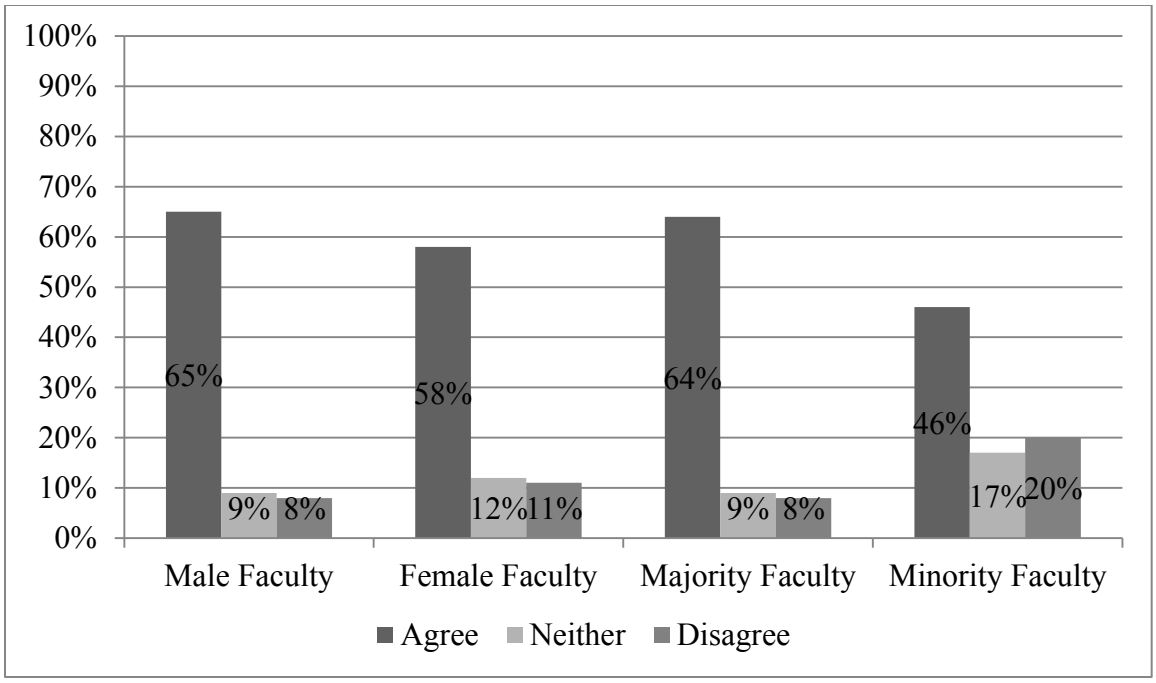

Figure 13. Levels of Agreement of Equal Opportunities in Promotion in Rank Based on Gender and Race at Neiman University. Responses are grouped by gender and race. Percentages are calculated using data responses from the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University.

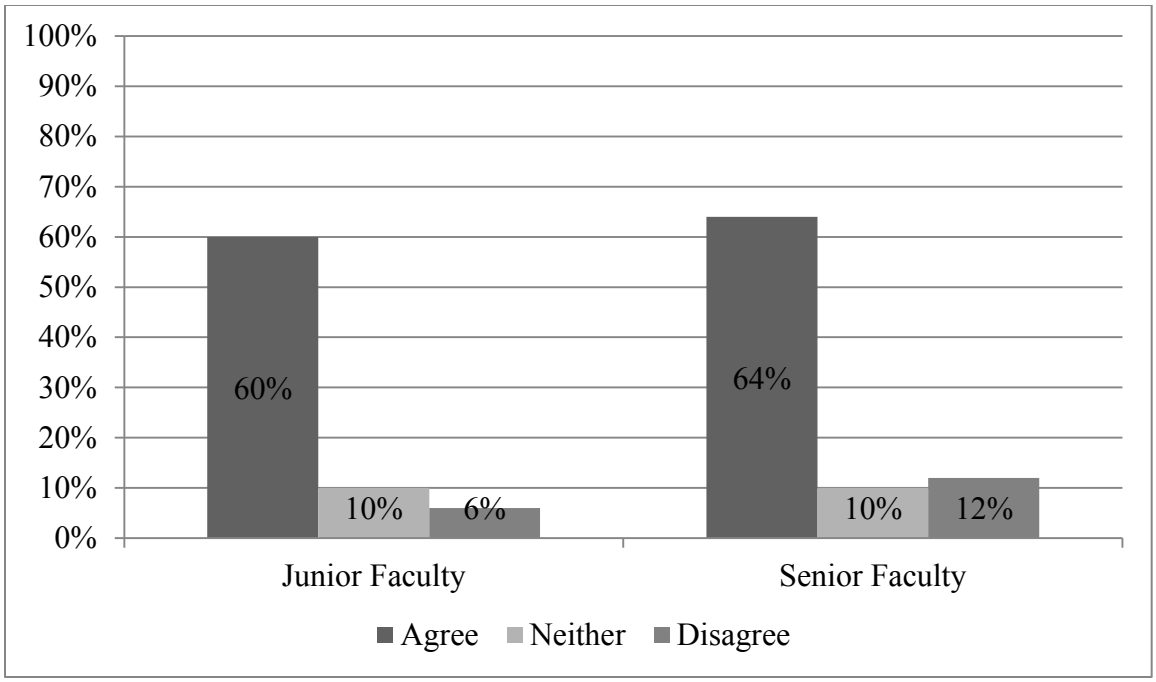

Figure 14. Levels of Agreement of Equal Opportunities in Promotion in Rank Based on Gender and Race at Neiman University by Academic Rank. Percentages are calculated using data responses from the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University.

Survey item 34C asked levels of agreement that minority and non-minority faculty members have equal opportunities to be promoted in rank. Sixty percent of responses by all faculty members agreed with this statement. Responses by male faculty members (61% or 140 out of 229 responses) slightly agreed more than female faculty members (57% or 66 out of 116 responses). By race, majority faculty members (63% or 194 out of 310 responses) agreed more than minority faculty members (35% or 12 out of 35 responses) that minority and non-minority faculty members have equal opportunities to be promoted in rank. Senior faculty members (63% or 121 out of 194 responses) agreed slightly more than junior faculty (58% or 64 out of 111 responses).

The UCT Institutional Climate Survey 2007 evaluated fairness in treatment of staff and workload distribution based on race, gender, and other diversity related variables. Survey items are labeled 1.1, 1.2, 1.3, and 1.4. Responses are measured using

a 5-point Likert scale. Scale selections are: “strongly agree,” “agree,” “neutral,” “disagree,” and “strongly disagree.” Survey items 1.1, 1.2, and 1.3 are treated as one dimension with an average of 406 total responses by academic staff.

Responses by all members of the academic staff agreed that UCT treats staff fairly (47% or 181 out of 406 responses). In contrast, 16% of academic staff disagreed (64 out of 406 responses). Foreign female academics (58% or 11 out of 19 responses), followed by Coloured and Indian male academics (42% or 8 out of 19 responses), have the two highest percentages of responses disagreeing that academic staff is treated fairly. African females (40% or 2 out of 5 responses) and White females (35% or 39 out of 113 responses) have the two highest percentages of respondents by race and gender that agreed that UCT staff is treated fairly. Thirty-four percent of White males and thirty-two percent of foreign males also agreed that UCT staff is treated fairly (see Figure 15). Senior academic staff (41% or 70 out of 169 responses) agreed more than junior academic staff (21% or 45 out of 211) that staff is treated fairly.

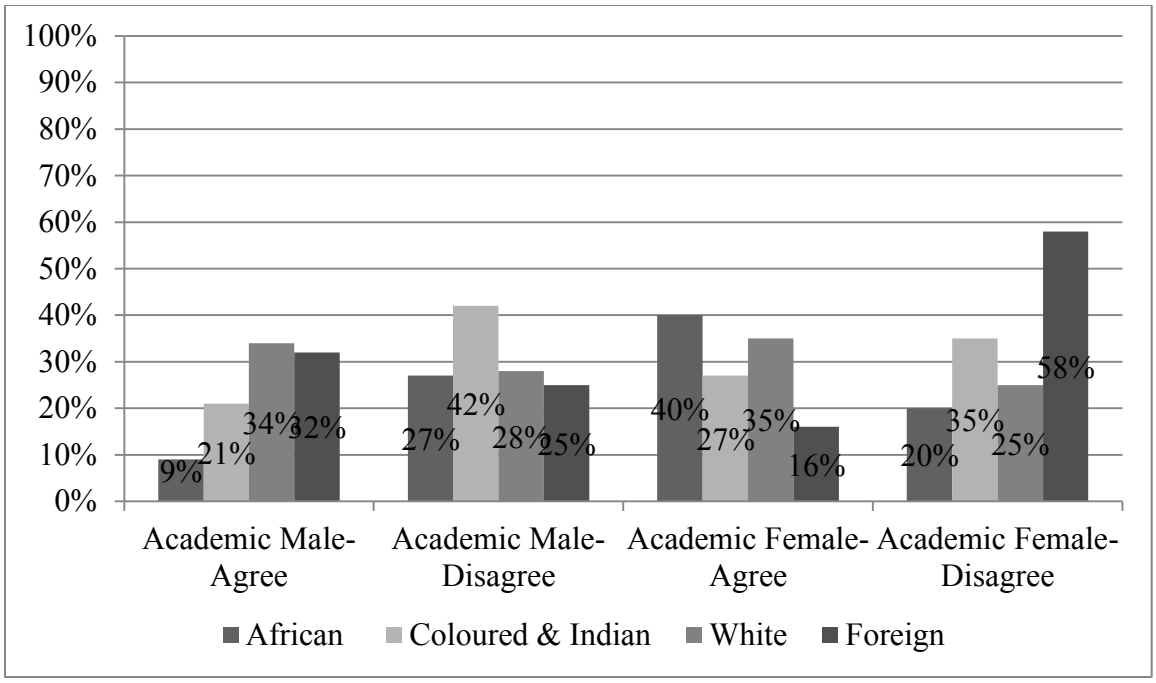

Figure 15. Levels of Agreement of Treatment of UCT Staff by Race and Gender. Percentages are calculated using data responses from the UCT Institutional Climate Survey 2007 administered at the University of Cape Town.

Data responses from survey item 1.4 in the UCT Institutional Climate Survey 2007 asked whether workload is unfairly distributed. Over half of all academic staff (51% or 226 out of 441 responses) agreed with this statement. In contrast, 31% of academic staff disagreed (138 out of 441 responses). Female academic staff (60% or 110 out of 182 responses) agreed more than male academic staff (47% or 100 out of 214 responses) that workload is unfairly distributed. African and Coloured and Indian academic staff (58% or 38 out of 65 responses) agreed more than White academic staff (51% or 143 out of 278 responses). Junior academic staff (54% or 126 out of 235 responses) agreed slightly more than senior academic staff (51% or 89 out of 176 responses) that workload is unfairly distributed.

Twelve survey items in the UCT Institutional Climate Survey 2007 measured constructs specific diversity and equity. Responses were measured using a 5-point Likert

scale. Scale selections are: "strongly agree," "agree," "neutral," "disagree," and "strongly disagree." Seven of the twelve survey items measured staff perceptions on whether staff of different identities is equally valued, respected, and fairly treated. These survey items are labeled 1.34, 1.35, 1.36, 1.37, 1.38, 1.39, and 1.40. Survey item 1.33 measured treatment of people from all backgrounds at UCT. Survey items labeled 1.41 and 1.42 measured equity in promotion policies and practices. Two of the survey items relating to diversity and equity on the survey instrument (1.43 and 1.44) are described in this chapter in the next section and under the primary theme *Governance and Strategy* due to content overlap and research consistency.

Forty-six percent of all academic staff at UCT agreed that they have not been treated differently due to diversity group memberships (i.e. race, gender, sexual orientation, age, and religion). This is survey item 1.34 in the UCT Institutional Climate Survey 2007. Thirty-eight percent of all academic staff disagreed with this statement. White males (50% or 75 out of 150 responses) and White females (52% or 67 out of 128 responses) agreed they have not been treated differently due to group membership. In contrast, African females (80% or 4 out of 5 responses) disagreed with this statement. Sixty percent of Coloured and Indian female academic staff also disagreed with this statement. By academic rank, associate professors and professors or senior academic staff (49% or 85 out of 175 responses) agreed slightly more than junior academic staff (46% or 108 out of 234 responses) that they have not been treated differently by group membership.

Survey items specific to different identity groupings with regards to race, ethnicity, and other diversity group memberships being valued and respected were treated as one dimension in the data analysis. These survey items are labeled 1.33 and 1.35

through 1.40. Thirty-seven percent of the academic staff responded "neutral" to survey items specific to diverse groups feeling equally valued and respected. Among responses by academic staff, the highest percentage of those agreeing that staff members of different identities are equally valued and respected at UCT are White males (35% or 51 out of 147 responses) and White females (29% or 35 out of 122 responses). African females (40% or 2 out of 5 responses) and Coloured and Indian females (35% and 10 out of 29 responses) have higher percentages among those in disagreement.

Respondents to the UCT Institutional Climate Survey 2007 were asked to agree with the fairness of employment practices at UCT. This survey item is labeled 1.41. Data results show that African males (45% or 5 out of 11 responses) and Coloured and Indian males (42% or 8 out of 19 responses) have the highest percentages of those who agreed that the employment practices at UCT are fair. Senior academic staff (37% or 65 out of 174 responses) agreed slightly more than junior academic staff (33% or 232 responses) that employment practices at UCT are fair.

Regarding promotion practices at UCT, 45% of academic staff disagreed that they feel disadvantaged by promotion practices. This survey item is labeled 1.42. The highest percentages agreeing with this statement by race and gender is among White males (38% or 56 out of 146 responses) and White females (33% or 42 out of 127 responses). In contrast, African males (55% or 6 out of 11 responses) and African females (50% or 2 out of 4 responses) disagreed with this statement. Senior academic staff (55% or 97 out of 175 responses) disagreed more than junior academic staff (37% or 84 out of 228 responses) that they feel disadvantaged by promotion practices at UCT.

Governance and Strategy

Survey items relating to the primary theme *Governance and Strategy* were extracted from the Medical Faculty Job Satisfaction Survey 2009 and the UCT Institutional Climate Survey 2007. Major differences in percentages of responses by institutions are noted from the survey item related to strategy for retaining diverse faculty and academic staff. Respondents from the survey administered at the University of Cape Town had higher percentages among race, gender, and job role compared to respondents from Neiman University. Below highlights all findings related to this primary research theme.

The researcher identified comparable survey items related this theme to analyze similarities and differences in the perceptions of faculty members and academic staff at each institution. Common subthemes emerging from each survey include participation in governance activities, knowledge of institutional priorities, recruitment and retention of staff, and diversity strategies for attracting and retaining staff from diverse backgrounds.

Faculty members at Neiman University assessed opportunities for participating in governance activities at the institution using the Medical Faculty Job Satisfaction Survey 2009. Survey items are labeled 41A and 41E. A 5-point Likert scale was used as the measuring tool. Scale selections include: "very satisfied," "satisfied," "neither," "dissatisfied," and "very dissatisfied."

Forty-three percent of all faculty members responding to the survey item are satisfied with opportunities for faculty participation in governance at the institution (survey item 41A). Female faculty members (49% or 57 out of 115 responses) are more satisfied than male faculty members (40% or 93 out of 229 responses) with opportunities for faculty participation in governance at the institution. Seventeen percent of majority or

White and Asian faculty members (52 out of 309 responses) indicated dissatisfaction with faculty participation in governance compared to minority or Black faculty members (11% or 4 out of 35 responses). By academic rank, senior faculty members (39% or 76 out of 194 responses) are more satisfied with this statement compared to junior faculty members (46% or 51 out of 111 responses).

Satisfaction of opportunities of faculty participation in governance at the departmental level at Neiman University was also measured using the Medical Faculty Job Satisfaction Survey 2009. This survey item is labeled 41E. Among all faculty members responding to this survey item, 53% or 181 out of 344 responses indicated satisfaction with this statement. Female faculty members (55% or 63 out of 115 responses) are slightly more satisfied than male faculty members (52% or 118 out of 229 responses). Equally, majority faculty members (23% or 71 out of 309 responses) and minority faculty members (23% or 8 out of 35 responses) are "neither satisfied or dissatisfied" with opportunities for faculty participation in governance at the departmental level at Neiman University (see Figure 16). By academic rank, junior faculty members (55% or 61 out of 111 responses) are more satisfied than senior faculty members (51% or 100 out of 194 responses) (see Figure 17).

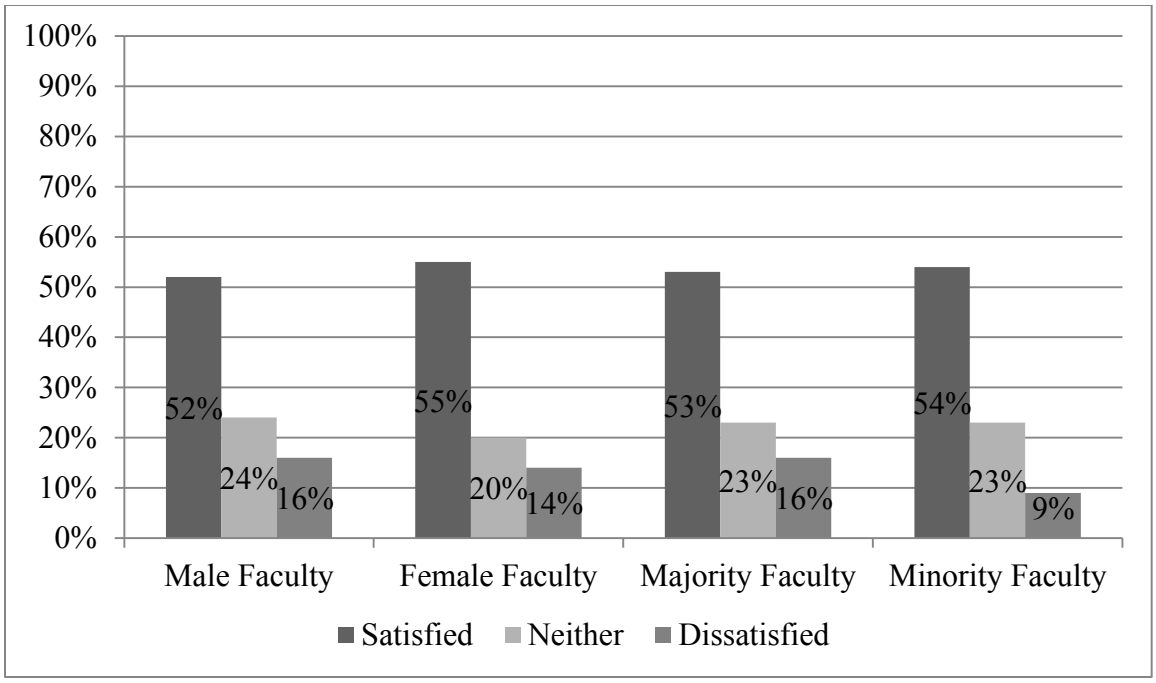

Figure 16. Levels of Satisfaction with Opportunities for Faculty Participation in Governance at the Institution by Gender and Race. Percentages are calculated using data responses from the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University.

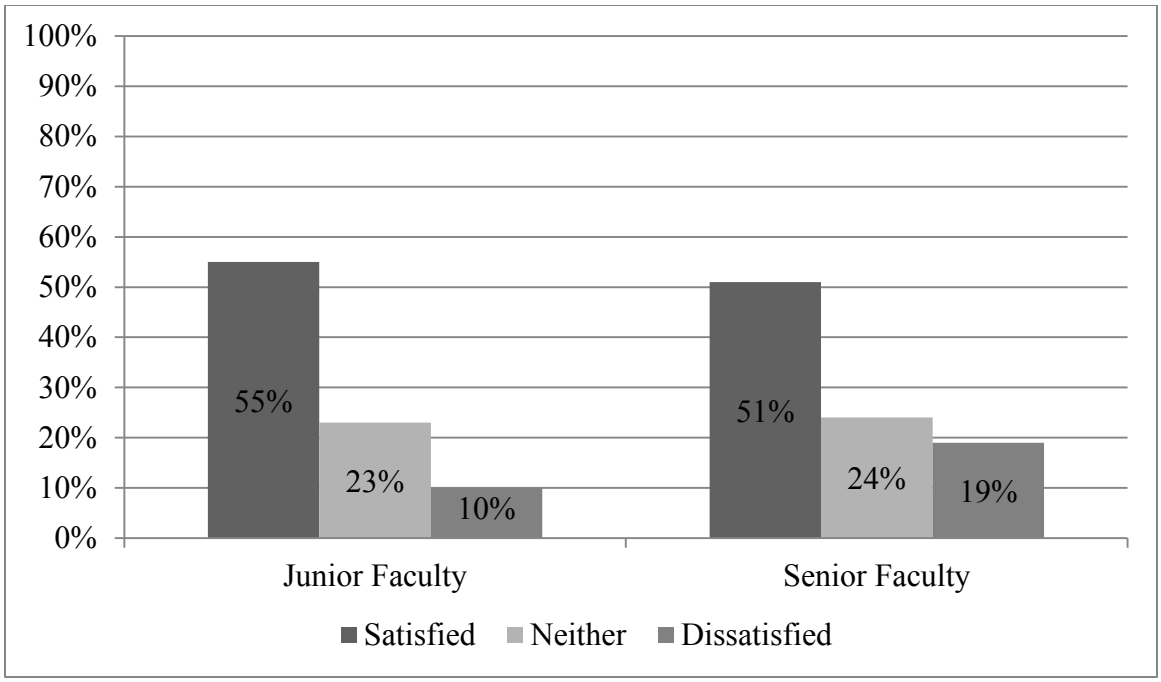

Figure 17. Levels of Satisfaction with Opportunities for Faculty Participation in Governance at the Institution by Academic Rank. Percentages are calculated using data responses from the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University.

The University of Cape Town measured perceptions about participation in governance activities and decision-making using the UCT Institutional Climate Survey 2007. The four survey items analyzed are labeled as 1.13, 1.14, 1.15, and 1.16. Responses were measured using a 5-point Likert scale. Scale selections are: "strongly agree," "agree," "neutral," "disagree," and "strongly disagree."

The first two related survey items (1.13 and 1.14) are specific to feelings about the level of consultation and the way decisions are made at the institution. These items are treated as one dimension in the data analysis. Academic staff at UCT disagreed (42% or 182 out of 438 responses) more than agreed (12% or 54 out of 438 responses) that staff members are consulted in governance activities. By race and gender, African females (80% or 4 out of 5 responses) were the highest group that agreed compared to academic staff identified as foreign females (26% or 5 out of 19 responses) that was the lowest

group in agreement. Among males, Whites (52% or 77 out of 148 responses) was the highest group by race and male gender to agree compared to Coloured and Indians (32% or 6 out of 19 responses) that was the lowest group in agreement (see Figure 18). By academic rank, senior academic staff (52% or 91 out of 175 responses) agreed more than members of the junior academic staff (41% or 96 out of 234 responses) that staff members are consulted in governance activities (see Figure 19).

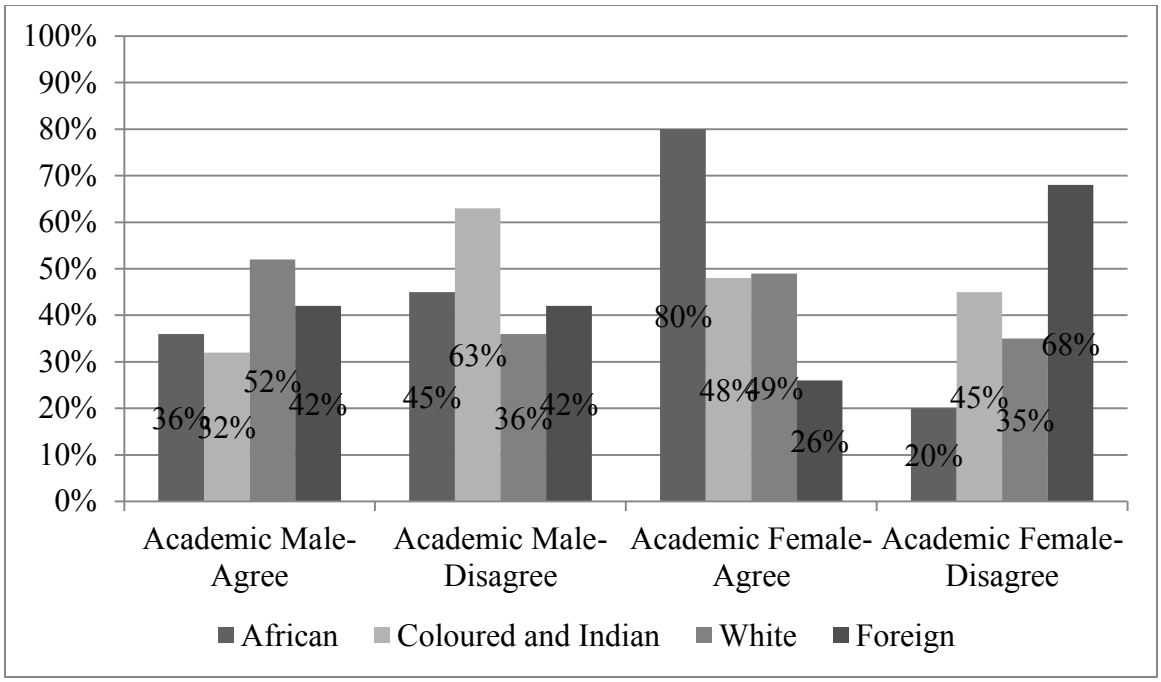

Figure 18. Levels of Agreement of Staff Consultation in Governance Activities by Race and Gender. Percentages are calculated using data responses from the UCT Institutional Climate Survey 2007 administered at the University of Cape Town.

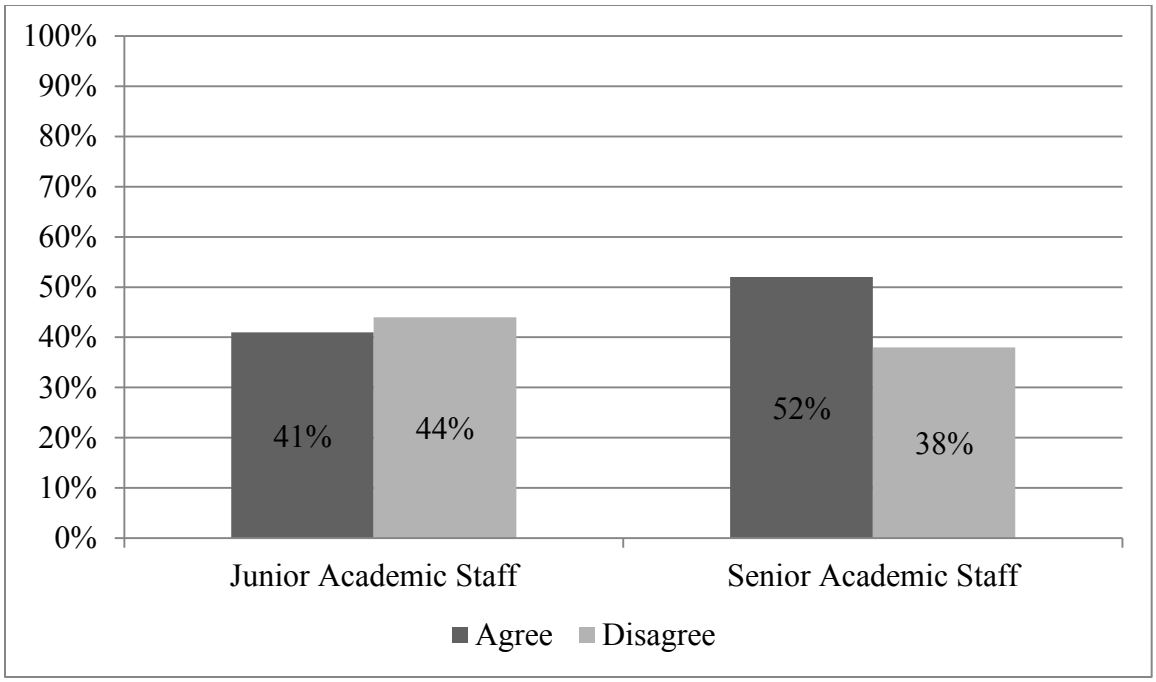

Figure 19. Levels of Agreement of Staff Consultation in Governance Activities by Academic Rank. Percentages are calculated using data responses from the UCT Institutional Climate Survey 2007 administered at the University of Cape Town.

Trust in decision-making and openness to new ways of doing things were measured on the UCT Institutional Climate Survey 2007. Survey items are labeled 1.15 and 1.16. Data responses to these items are treated as one dimension in the data analysis. The majority of academic staff (56% or 244 out of 434 responses) at UCT is "neutral" about staff members being trusted in decision-making and fair consideration is given to suggestions for new ways of doing things. Academic males (50% or 105 out of 208 responses) and academic females (49% or 90 out of 182 responses) almost equally agreed with these statements. African males (64% or 7 out of 11 responses) and White females (58% or 74 out of 127 responses) are the largest groups by race and gender in agreement. In contrast, African females (60% or 3 out of 5 responses) and Coloured and Indian males (53% or 10 out of 19 responses) disagreed that staff are consulted in governance activities. By academic rank, senior academic staff (51% or 87 out of 172 responses)

agreed more than junior academic staff (47% or 110 out of 234 responses) that staff members are trusted in decision-making and fair consideration is given to suggestions for new ways of doing things at UCT.

Neiman University and the University of Cape Town measured levels of satisfaction of understanding institutional priorities and long-term objectives. Survey items from the Medical Faculty Job Satisfaction Survey 2009 measured satisfaction with priorities at the dean and department chair levels. A Likert scale was used as the measuring tool. Scale selections include: "very satisfied," "satisfied," "neither," "dissatisfied," and "very dissatisfied." These survey items are labeled 41C and 41G and are treated as one dimension in the data analysis.

Fifty-eight percent of all faculty members responding to the survey administered at Neiman University agreed that they understand priorities of deans and department chairs. Female faculty members (62% or 142 out of 230 combined responses) agreed more than male faculty members (55% or 254 out of 457 combined responses) with these statements. Majority or White and Asian faculty members (59% or 362 out of 618 combined responses) agreed more than minority or Black faculty members (50% or 34 out of 70 combined responses) that they understand priorities of deans and department chairs. Senior faculty members disagreed (20% or 75 out of 387 combined responses) more than junior faculty members (nine percent or 19 out of 222 combined responses).

The University of Cape Town measured understanding of long-term objectives at the institution and job roles in them using the UCT Institutional Climate Survey 2007. Survey items are labeled 1.19 and 1.20 and are measured as one dimension in the data analysis. Responses were measured using a 5-point Likert scale. Scale selections are: "strongly agree," "agree," "neutral," "disagree," and "strongly disagree." An average of

439 members of the academic staff responded to these questions. Academic staff (44% or 195 out of 439 responses) agreed that they understand long-term objectives at the institution and their job roles in them. In contrast, 23% of academic staff at UCT (101 out of 439 responses) disagreed. By gender, male academic staff (25% or 52 out of 211 responses) disagreed more than female academic staff (19% or 34 out of 183 responses). Majority or White academic staff (22% or 60 out of 276 responses) disagreed with understanding the long-term objectives of the institution and their role in them slightly more than minority or African and Coloured and Indian academic staff (20% or 13 out of 66 responses). Junior academic staff (26% or 62 out of 236 responses) disagreed more than senior academic staff (19% or 33 out of 173 responses) that they understand long-term objectives at UCT and their roles in them.

The Medical Faculty Job Satisfaction 2009 measured strategy regarding staff retention at Neiman University. A Likert scale was used to measure this survey item labeled 39D. Scale selections are: "strongly agree," "agree," "neither," "disagree," and "strongly disagree." The largest percentage among all faculty members responding to this survey item "neither agreed or disagreed" (30% or 103 out of 345 responses) that the institution is successful in retaining high quality faculty members. Male faculty members (24% or 55 out of 229 responses) agreed less than female faculty members (40% or 47 out of 116 responses). By race, majority faculty members (30% or 94 out of 310 responses) agreed more than minority faculty members (23% or 8 out of 35 responses). Senior faculty members (36% or 69 out of 194 responses) disagreed more than junior faculty members (21% or 24 out of 111 responses) that the institution is successful in retaining high quality faculty members.

Survey item 1.44 on the UCT Institutional Climate Survey 2007 measured the effectiveness of policies and practices at UCT in retaining staff. Respondents to the survey item used a Likert scale and chose one of the following scale selections: "strongly agree," "agree," "neutral," "disagree," and "strongly disagree." Forty-five percent of academic staff at the University of Cape Town disagreed with this statement. The highest percentages of those that disagreed are among African males (64% or 7 out of 11 responses) and Coloured and Indian females (47% or 9 out of 19 responses). In contrast, African females (80% or 4 out of 5 responses) and White males (61% or 90 out of 147 responses) agreed with this statement. By academic rank, senior faculty members (62% or 109 out of 176 responses) agreed that staff retention policies are effective at UCT. Junior faculty members equally agreed (50% or 116 out of 233 responses) and disagreed (50% or 117 out of 233 responses) with this statement.

The last survey items analyzed under the primary theme *Governance and Strategy* measured strategies for attracting or recruiting staff from diverse backgrounds. Neiman University measured levels of agreement with recruiting racial/ethnic minority faculty members using a 5-point Likert scale. Scale selections are: "strongly agree," "agree," "neither," "disagree," and "strongly disagree." The survey item is labeled 40B. Sixty-three percent of all faculty members responding to this survey item agreed that their department is successful in recruiting racial/ethnic minority faculty members (216 out of 343 responses). Males (12% or 142 out of 228 responses) disagreed slightly more than females (7% or 8 out of 115 responses). Minority or Black faculty members (31% or 11 out of 35 responses) disagreed more than or White faculty members (eight percent or 25 out of 308 responses). By academic rank, senior faculty members (64% or 123 out of

192 responses) agreed slightly more than junior faculty members (62% or 69 out of 111 responses).

Survey item 1.43 on the UCT Institutional Climate Survey 2007 measured the effort of UCT in attracting staff from diverse backgrounds. Respondents to the survey item used a Likert scale and chose one of the following scale selections: "strongly agree," "agree," "neutral," "disagree," and "strongly disagree." There are a total of 437 responses for this survey item by academic staff. Thirty-eight percent of responses by all academic staff members disagreed that UCT does not do enough to attract staff from diverse backgrounds. African females had the highest percentage by race and gender who disagreed (60% or 3 out of 5 responses). Coloured and Indian females (61% or 19 out of 31 responses) followed by Coloured and Indian males (53% or 10 out of 19 responses) had the highest percentages among those who agreed with this survey item. Senior academic staff (45% or 78 out of 174 responses) disagreed more than junior academic staff (33% or 77 out of 233 responses) that UCT does not do enough to attract staff from diverse backgrounds. Junior academic staff also equally agreed with this statement (33% or 78 out of 233 responses).

Harassment and Discrimination

The researcher did not identify any comparable quantitative survey items related to the primary theme *Harassment and Discrimination* in the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University. Specifically, no survey items on the questionnaire measured harassment. Discrimination was measured with select survey items relating to fair treatment, different treatment based on diverse group memberships, and equitable promotion practices based on diverse group memberships.

These survey items overlapped with the primary theme *Diversity and Equity* and are grouped with related survey items.

The UCT Institutional Climate Survey 2007 included an entire quantitative section in the questionnaire related to harassment and discrimination. The researcher identified no relatable quantitative survey items from this questionnaire for comparison. Text responses relating to harassment and discrimination are included in the section analyzing qualitative data responses on best and worst aspects of working at each institution.

Organizational Environment

Survey items included in the Medical Faculty Job Satisfaction Survey 2009 and the UCT Institutional Climate Survey 2007 assessed the overall workplace experience and feelings of being valued and respected as an employee at each institution. Neiman University used the Medical Faculty Job Satisfaction Survey 2009 to also measure constructs such as compensation and benefits; employee policies; satisfaction with workspace; and being appreciated for contributions made to teaching, research or scholarship, patient care, and administration.

The University of Cape Town used the UCT Institutional Climate Survey 2007 to measure similar constructs relating to the organizational environment. Survey items assessed job performance, benefits, and factors related to the work environment.

The researcher identified four comparable constructs among survey items relating to the primary theme *Organizational Environment*. These items specifically measured sense of belonging, training and professional development opportunities, work life balance, and overall job satisfaction. Minority (e.g. historically underrepresented race) and junior faculty members and academic staff were among those with the lowest

percentages among survey items relating to this theme. In comparing responses by institution, higher percentages in levels of satisfaction factors relating to the organizational environment were identified at Neiman University than at the University of Cape Town.

The Medical Faculty Job Satisfaction Survey 2009 measured "sense of belonging" to Neiman University. This survey item is labeled 18A. Respondents used a 5-point Likert scale to answer this survey item. Scale selections are: "very satisfied," "satisfied," "neither," "dissatisfied," and "very dissatisfied." Seventy-four percent of faculty members responding to this survey item are satisfied with their sense of belonging to Neiman University. Female faculty members (78% or 91 out of 117 responses) and male faculty members (77% or 179 out of 232 responses) are almost equally satisfied. Majority faculty members (11% or 33 out of 319 responses) are slightly more dissatisfied than minority faculty members (9% or 3 out of 35 responses) (see Figure 20). By academic rank, junior faculty members (80% or 89 out of 111 responses) are more satisfied than senior faculty members (75% or 148 out of 198 responses) with feeling a sense of belonging to Neiman University (see Figure 21).

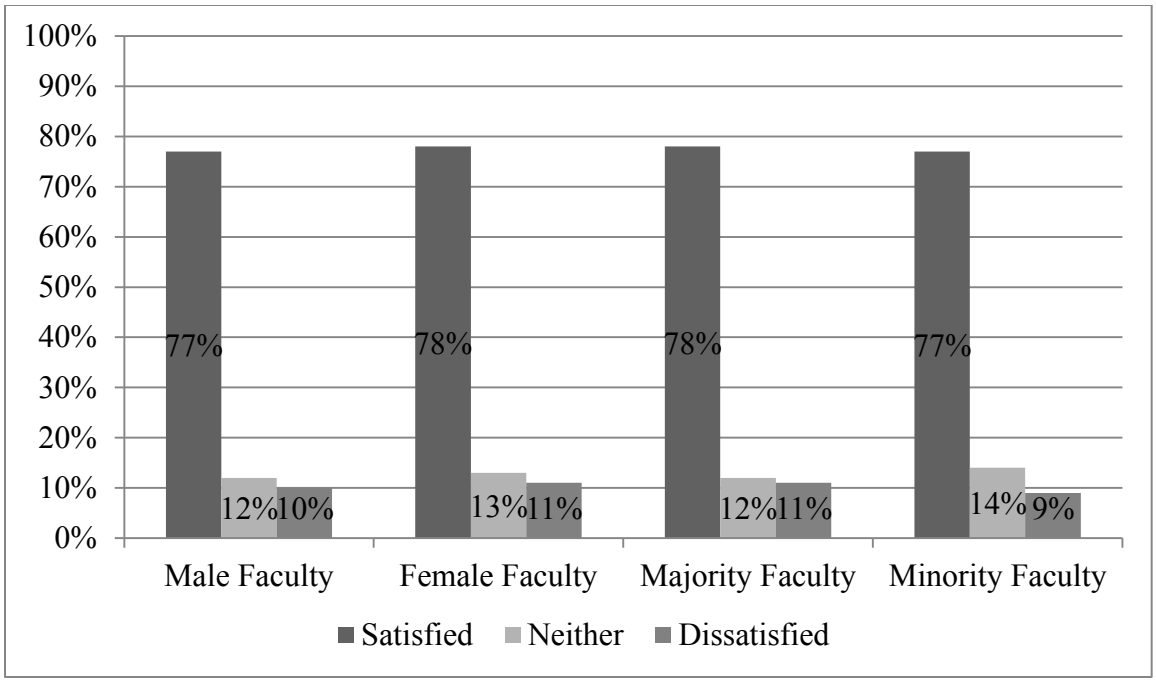

Figure 20. Levels of Satisfaction with Feeling a Sense of Belonging by Race and Gender. Percentages are calculated using data responses from the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University.

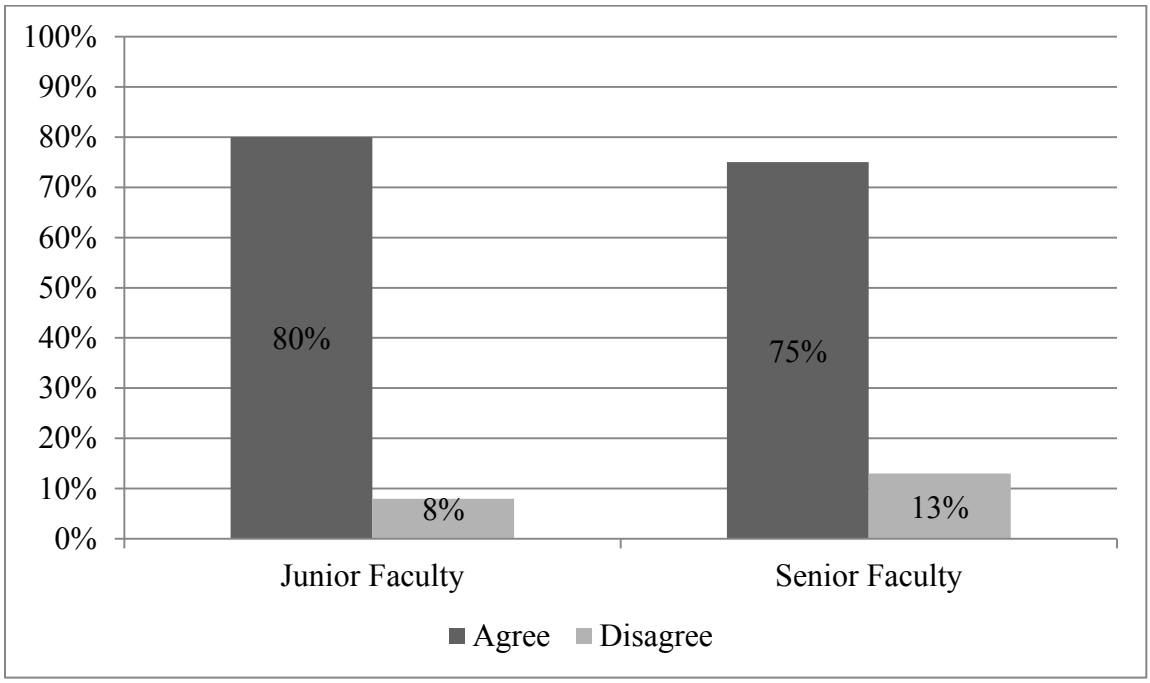

Figure 21. Levels of Satisfaction with Feeling a Sense of Belonging by Academic Rank. Percentages are calculated using data responses from the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University.

Survey item 1.27 on the UCT Institutional Climate Survey 2007 measured "sense of belonging" to the University of Cape Town. A 5-point Likert scale was used to assess responses. Scale selections include: "strongly agree," "agree," "neutral," "disagree," and "strongly disagree." Fifty percent of all academic staff responding to this survey item agreed to feeling of a sense of belonging to UCT. Highest percentages of male academic staff disagreeing with this statement by race are foreign males (30% or 10 out of 33 responses) and Coloured and Indian males (21% or 4 out of 19 responses). The highest percentages among female academic staff in disagreement are African females (40% or 2 out of 5 responses) and foreign females (37% or 7 out of 19 responses) (see Figure 22). Senior academic staff (61% or 107 out of 175 responses) agreed more than junior academic staff (43% or 100 out of 235 responses) that they feel a sense of belonging to UCT (see Figure 23).

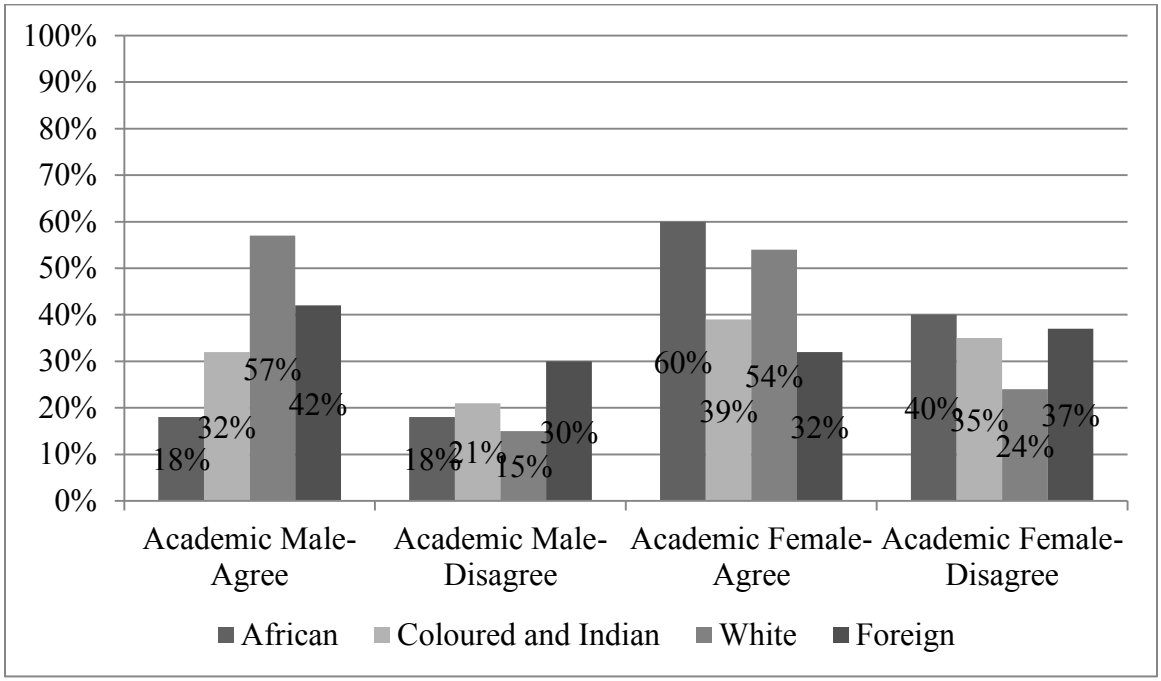

Figure 22. Levels of Agreement of Feeling a Sense of Belonging to UCT by Race and Gender. Percentages are calculated using data responses from the UCT Institutional Climate Survey 2007 administered at the University of Cape Town.

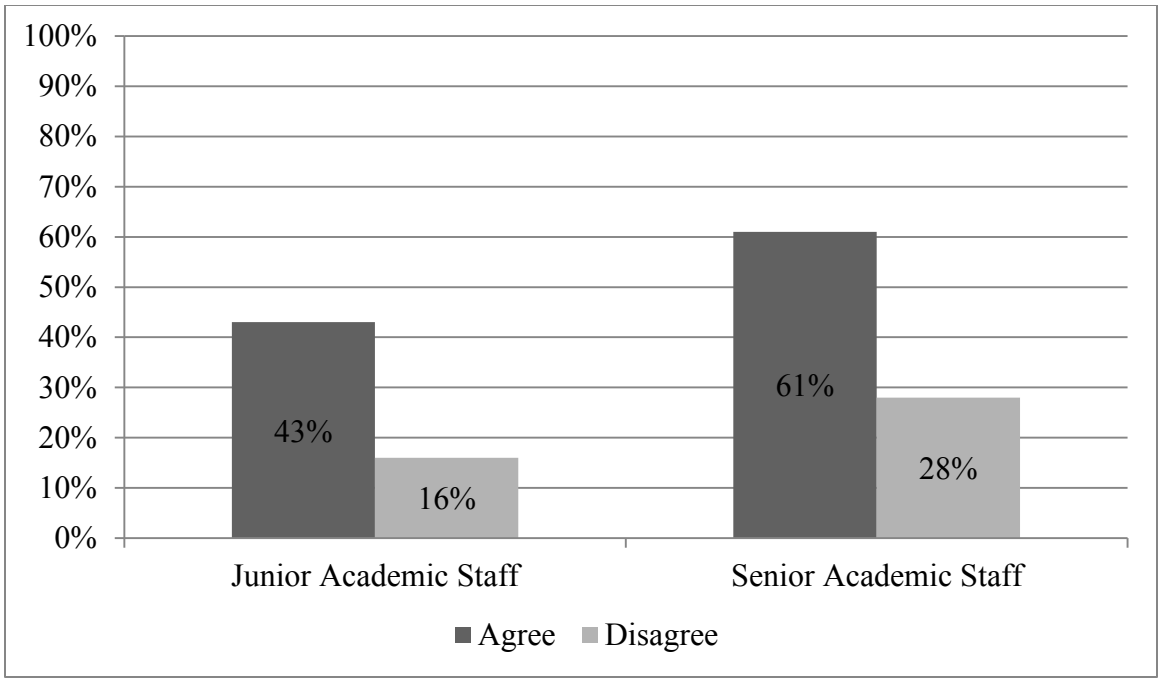

Figure 23. Levels of Agreement of Feeling a Sense of Belonging to UCT by Academic Rank. Percentages are calculated using data responses from the UCT Institutional Climate Survey 2007 administered at the University of Cape Town.

The opportunities for professional development at Neiman University were measured using the Medical Faculty Job Satisfaction Survey 2009. This survey item is labeled 35B. A 5-point Likert scale was used as a measurement tool. Scale selections include: "very satisfied," "satisfied," "neither," "dissatisfied," and "very dissatisfied." Fifty-three percent of faculty members responding to this survey item agreed that there are opportunities for professional development at Neiman University. Male faculty members (52% or 119 out of 229 responses) and female faculty members (53% or 61 out of 115 responses) are almost equally satisfied with this statement. Minority faculty members (40% or 14 out of 35 responses) are "neither satisfied or dissatisfied" compared to majority faculty members (54% or 167 out of 309 responses) that are satisfied with professional development opportunities. Minority faculty members (37% or 13 out of 35 responses) are less satisfied with professional development opportunities. By academic

rank, senior faculty members (25% or 48 out of 193 responses) are more dissatisfied than junior faculty members (18% or 20 out of 111 responses).

Academic staff at the University of Cape Town was asked on the UCT Institutional Climate Survey 2007 if there are adequate opportunities for training and development at UCT. This survey item is labeled 1.32. A 5-point Likert scale was used to measure all responses. Scale selections include: "strongly agree," "agree," "neutral," "disagree," and "strongly disagree." Forty-nine percent of all academic staff responding to this survey item agreed with this statement. By race and gender, higher percentages in disagreement are among Coloured and Indian males (32% or 6 out of 19 responses) and foreign females (37% or 7 out of 19 responses). In contrast, African males (55% or 6 out of 11 responses) and African females (60% or 3 out of 5 responses) had the highest percentages in agreement that there are adequate opportunities for training and development at UCT. Junior academic staff (25% or 60 out of 236 responses) disagreed with this statement more than senior academic staff (21% or 37 out of 175 responses).

Neiman University and the University of Cape Town measured feelings about work life balance at each institution. Survey item 21E on the Medical Faculty Job Satisfaction Survey 2009 assessed these feelings among faculty members at Neiman University. A 5-point Likert scale served as a measurement tool. Scale selections are: "strongly agree," "agree," "neither," "disagree," and "strongly disagree." Fifty-seven percent of all faculty members responding to this survey item agreed that the workplace culture at Neiman University cultivates a climate in support of work life balance. By gender, female faculty members (62% or 72 out of 117 responses) agreed more than male faculty members (55% or 128 out of 232 responses). Minority or Black faculty members (66% or 23 out of 35 responses) agreed more than majority or White and Asian faculty

members (56% or 177 out of 314 responses). By academic rank, junior faculty members (66% or 73 out of 111 responses) agreed more than senior faculty members (49% or 98 out of 198 responses) that the workplace culture at Neiman University cultivates a climate in support of work life balance. Table 17 demonstrates responses by all faculty members responding to this survey item by gender, race, and academic rank.

Table 17

Percentages of Responses by Gender, Race, and Academic Rank on Workplace Culture at Neiman University in Support of Work Life Balance (Survey item 21E)

	Agree	Neither	Disagree
All Faculty	57%	25%	14%
Male Faculty	55%	29%	12%
Female Faculty	62%	17%	20%
Majority Faculty (i.e. White and Asian)	56%	26%	15%
Minority Faculty (i.e. Black)	66%	20%	11%
Junior Faculty (i.e. Assistant Professor)	66%	22%	9%
Senior Faculty (i.e. Associate or Full Professor)	49%	30%	18%

Note: From "Neiman University Institutional Report, 2009", The Association of American Medical Colleges and the President and Fellows of Harvard College. Percentages are rounded to the nearest one.

Survey item 1.26 on the UCT Institutional Climate Survey 2007 measured opinions on whether UCT recognizes the need for balance between work responsibilities and personal life. A 5-point Likert scale measured all responses. Scale selections include: "strongly agree," "agree," "neutral," "disagree," and "strongly disagree." Forty-

three percent of all academic staff disagreed with this survey item. Coloured and Indian males (63% or 12 out of 19 responses) and foreign females (58% or 11 out of 19 responses) are the largest groups by race and gender disagreeing with this statement. Junior academic staff (36% or 84 out of 234 responses) and senior academic staff (36% or 63 out of 174 responses) equally disagreed that UCT recognizes the need for balance between work responsibilities and personal life. Table 18 demonstrates responses by all academic staff responding to this survey item by gender, race, and academic rank.

Table 18

Percentages of Responses by Gender, Race, and Academic Rank on Support for Work Life Balance at the University of Cape Town (Survey item 1.26)

	Agree	Disagree
All Academic Staff	35%	43%
Male Academic Staff	34%	29%
Female Academic Staff	37%	42%
Majority Academic Staff (i.e. White)	36%	35%
Minority Academic Staff (i.e. African and Coloured and Indian)	29%	40%
Junior Academic Staff (i.e. Lecturers and Researchers)	36%	36%
Senior Academic Staff (i.e. Associate Professors and Professors)	32%	36%

Note: From "UCT Institutional Climate Survey 2007 Report", The University of Cape Town, South Africa. Percentages are rounded to the nearest one. The table does not include responses by foreign males and foreign females in the race categories (i.e. "majority academic staff" and "minority academic staff").

Table 18 (continued).

Responses in the "neither" category are not included in the data report and were not available to the researcher.

Overall satisfaction with Neiman University as a place to work was measured on the Medical Faculty Job Satisfaction Survey 2009. This survey item is labeled 46 on the survey questionnaire. A 5-point Likert scale was used as a measurement tool. Scale selections include: "very satisfied," "satisfied," "neither," "dissatisfied," and "very dissatisfied." Sixty-four percent of faculty members responding to this survey item are satisfied with the institution as a place to work. By gender, female faculty members (71% or 90 out of 116 responses) agreed more than male faculty members (61% or 138 out of 228 responses). By race, minority faculty members (71% or 25 out of 35 responses) agreed more than majority faculty members (63% or 195 out of 309 responses). By academic rank, junior faculty members (72% or 79 out of 111 responses) agreed more than senior faculty members (57% or 111 out of 193 responses) that they are satisfied overall that Neiman University is a great place to work.

A similar survey item on the UCT Institutional Climate Survey 2007 related to overall job satisfaction at UCT. The survey item is labeled 1.12 and was measured using a 5-point Likert scale. Scale selections include: "strongly agree," "agree," "neutral," "disagree," and "strongly disagree." Fifty-nine percent of all academic staff at UCT responding to this survey item agreed that they are satisfied with their job (259 out of 441 responses). Coloured and Indian males (58% or 11 out of 19 responses) and foreign females (68% or 13 out of 19 responses) were the highest groups disagreeing that they are satisfied with their jobs. By academic rank, senior academic staff agreed (62% or 109

out of 176 responses) agreed slightly more than junior academic staff (58% or 137 out of 235 responses) with this statement.

Content Analysis of Open Ended Survey Items - Qualitative

Text responses from similar open-ended survey items are analyzed using processes of qualitative content analysis. This procedure is accomplished using coding frames to organize data and identify findings after coding is complete (Berg, 2004). The researcher used coding procedures involving multiple levels of sorting of thematic data. Coding involved an inductive analysis using text data from surveys administered at Neiman University and at the University of Cape Town. Text responses to questions relating to the best and worst aspects of working at each institution are analyzed.

Best and Worst Aspects – Qualitative Survey Items

The researcher used raw data from the Neiman University Institutional Report of the Medical Faculty Job Satisfaction Survey 2009. Hard copies of these documents were used to analyze text responses from faculty members responding to survey item 9117_6 "What three aspects of Neiman University make it a desirable place to work?" and to survey item 9117_7 "What three aspects of Neiman University make it a less than desirable place to work?" Open-ended responses to each survey item ranged from one to five data units (i.e. text responses) collected per respondent.

The researcher identified overlap in responses that are related to one or more research themes. The researcher transformed all data and coded them to fit into one of the following primary research themes: (1) Collegiality and Collaboration; (2) Communication; (3) Diversity and Equity; (4) Governance and Strategy; (5) Harassment and Discrimination; and (6) Organizational Environment. Coding involved analysis of

text responses to align with one theme. Data analysis did not involve distribution of text responses organized by gender, race, or academic rank.

Responses to Survey Item 9117_6 "What three aspects of Neiman University make it a desirable place to work?"

Of the 356 total survey completers, 246 members of the faculty at Neiman University provided one to three text responses to this survey item. Twenty-three subthemes emerged. Text responses aligned to a subtheme are merged into one of the primary themes. Table 19 provides a summary of the number of text responses within each of the themes and subthemes. A selection of direct quotes from the data report is provided to offer clarity to the meaning of the primary theme from related open-ended responses.

Table 19

Grouped Responses to Survey Item 9117_6 "What three aspects of Neiman University make it a desirable place to work?"

Primary Themes (Ranked)	Subthemes Summarized from Data Responses	Number of Data	Percent within Data
Organizational Environment	Academic setting, infrastructure and systems, location, benefits, autonomy, facilities, advancement, teaching, research, patient care, institutional growth and reputation	329	55%
Collegiality and Collaboration	Colleagues, engagement, collaboration, feeling valued, contributions, congenial staff	160	27%
Governance and Strategy	Leadership, mission, vision, support	100	17%
Diversity and Equity*	Demographic diversity of staff	8	1%

Table 19 (continued).

Communication	Openness, feedback	2	0%
Harassment and Discrimination	None	0	0%
Unspecified**		5	1%
Total Data		604	100%

Note: From "Neiman University Institutional Report, 2009", The Association of American Medical Colleges and the President and Fellows of Harvard College.

Data related to the primary research theme *Organizational Environment* ranked the highest. There is a total of 329 text responses or 55% of text responses by completers of this survey item. The highest subtheme under this primary theme is "opportunities for teaching, research, and patient care" (168 text responses). "Benefits and rewards" is the second highest subtheme emerging from the text analysis and is also grouped with the primary research theme *Organizational Environment* (61 text responses). The majority of the remaining text responses aligned with this subtheme (i.e. benefits and rewards) are general to salaries, insurance benefits, and continuing education. "The work environment or atmosphere of the workplace" is the third highest subtheme (35 text responses). A selection of direct quotations from the data report relating to the theme *Organizational Environment* is included below.

- "Ability to teach medical students and residents. Good retirement plan."
- "Academic environment. Resource availability. Relative autonomy."
- "Benefits, commitment to excellence in patient care, and its goal for continued advancement of the institution."
- "Excellent research facilities. Strong research environment. Good balance of research and teaching responsibilities."

- "Opportunities to teach students. A good department in which to work that is supportive and learning."
- "Very pleasant atmosphere within my division that allows me to be creative and focused in my research. The opportunity to participate and contribute to the research enterprise."

The second largest theme emerging from survey item 9117_6 is *Collegiality and Collaboration*. Respondents feel that collegiality, collaboration, and respect for co-workers are most important with 150 text responses (94% of the total number of text responses) aligned with this primary research theme. A selection of direct quotations from the data report relating to the theme *Collegiality and Collaboration* is included below.

- "Collegial spirit of faculty."
- "Collegiality of faculty colleagues within my department."
- "Family atmosphere. Teamwork, the attitude that we are pulling on the same rope."
- "Great colleagues in my department. Great level of medical knowledge and expertise. A pervading sense of mission and being able to contribute in many ways."
- "Most people are very congenial, collegiate, and professional across the academic fold. Most faculty members are respectful and nice to each other, especially the department chair."
- "My department is very collegial and a great group to work with. I do not feel pressured to do basic research."

Governance and Strategy is the third largest theme emerging from responses to the survey item identifying the three best aspects of working at Neiman University. One hundred text responses or seventeen percent of the responses by total survey completers are sorted and grouped with the primary research theme *Governance and Strategy*. Responses related to *Governance and Strategy* include subthemes such as visioning of senior leadership, department chairs, or deans; the growth and direction of the institution; and support aligned with the mission of the institution. A range of direct quotations from the data report relating to the theme *Governance and Strategy* is included below.

- "Dean with a vision for the future and emphasis on research."
- "Outstanding support for research from the dean and department chairs."
- "Strong leadership from the dean in the right direction at the right time."
- "Supportive department chairmen."
- "The potential for growth of the institution as a whole. The potential for the administration to become progressive and lead the institution to true excellence."
- "Vision of leadership."

Responses to Survey Item 9117_7 "What three aspects of Neiman University make it a less than desirable place to work?"

There are 214 respondents from the 356 total survey completers responding to this survey item. Thirty subthemes emerged during the analysis of text responses. Subthemes were grouped into one of the primary themes (see Table 20). The theme *Organizational Environment* contained the largest amount of data with 315 or 58% related text responses. Responses relating to institutional infrastructure and benefits are slightly overrepresented and are over one-third of the data combined (123 text responses

or 39%). The next largest subthemes are equally distributed among the text responses. These subthemes include "patient care/clinical issues" (38 text responses or 12%) and "staffing issues" (37 text responses or 12%). "Campus facilities and equipment" is the fourth largest subtheme with 31 text responses (10% of the total number of text responses). A selection of direct quotations from the data report aligned with the *Organizational Environment* theme is included below.

- "Neiman University lacks the reputation of excellence that other prominent academic centers enjoy."
- "Failure to run the institution like a business which creates inefficiencies which hurt the faculty."
- "The current combination of poor economic environment with increased stringency of demands for faculty productivity in research."
- "Still lower than regional average salaries for both faculty and staff."
- "Inconsistent facility cleanliness. Inconsistent updating of environment. Inconsistent updating of equipment."
- "Lack of research infrastructure, instruments, etc. Dated buildings, offices, and laboratories. The graduate students have a better family leave policy than faculty. Poor work environment. Too noisy, too hot, too cold."

Governance and Strategy is the second largest theme emerging from survey item 9117_7 that identifies the worst aspects of working at Neiman University. A total of 141 text responses are identified and aligned with this theme. Majority of the open-ended responses feel that leadership is ineffective and unsupportive (106 text responses or 75%). Exclusion from the decision-making process, lack of transparency, resistance to change, and poor strategy for recruitment and retention of faculty are also subthemes

emerging from data responses. A selection of direct quotations from the data report and grouped with the theme *Governance and Strategy* is included below.

- "Loss of decision-making by those who actually do the work in clinical care, teaching, and research. Hiring of and decision-making by personnel with little or no academic background or experience rather than relying on experienced people at the institution."
- "Culture of resistance to change, inbreeding. Lack of an active faculty senate or other faculty organization."
- "Lack of ability to participate in setting the direction of the institution/hospital. We have one voice for each. We have no board and an executive committee that is only titular. This governance set-up is perpetuated on department levels as well."
- "Feels bureaucratic at times, sluggish with decision-making and change."
- "Poor leadership in department and administration."
- "Leadership. Leadership. Leadership."

Table 20

Grouped Responses to Survey Item 9117_7 "What three aspects of Neiman University make it a less than desirable place to work?"

Primary Themes	Subthemes Summarized from Data Responses	Number of Data	Percent within Data
Organizational Environment	Poor infrastructure and systems, poor location, poor benefits, no autonomy, old facilities, limited room for advancement, teaching issues, research issues, patient care and clinical issues, no	315	58%

Table 20 (continued).

	institutional growth, poor reputation, lack of ethics and quality, staffing issues		
Collegiality and Collaboration	Poor levels of engagement or collaboration, lack of feeling valued, low morale, no rewards or recognitions for contributions, poor resources	67	12%
Governance and Strategy	Ineffective leadership, lack of vision and support, no accountability, exclusion in decision-making processes, lack of transparency, resistance to change, lack of trust, poor recruitment and retention	141	26%
Diversity and Equity	Lack of diversity among staff	1	0%
Communication	Lack of effective communication, poor feedback	18	3%
Harassment and Discrimination	Discriminatory practices in salaries	1	0%
Unspecified*		2	0%
Total Data		545	100%

Note: From "Neiman University Institutional Report, 2009", The Association of American Medical Colleges and the President and Fellows of Harvard College.

Summary of Best and Worst Aspects of Working at Neiman University

This summary is to facilitate a holistic interpretation of the themes that emerged from the qualitative data. Two-thirds of the total number of survey respondents answered at least one or both survey items – "What three aspects of Neiman University make it a desirable place to work?" and "What three aspects of Neiman University make it a less than desirable place to work?" The researcher categorized text data into one of six

primary research themes. The open-ended questions contained a combined total of 1,149 text responses. Figure 24 is a comparison of responses identified as the top three best and the three worst aspects of working at Neiman University. It serves as a summary of percentage distributions of text responses by primary research themes.

Organizational Environment ranked the highest best aspect (55% of text responses) and almost equally as the worst aspect (58% of text responses) at Neiman University. *Collegiality and Collaboration* ranked as the second best aspect (27% of text responses) and as the third worst aspect (26% of text responses) about working at Neiman University. *Governance and Strategy* ranked as the third best aspect (17% of text responses) and as the second worst aspect (26% of text responses) (see Figure 24). Text responses for both survey items total three percent or less in relation to alignment with remaining primary research themes – *Communication*, *Diversity and Equity*, and *Harassment and Discrimination*.

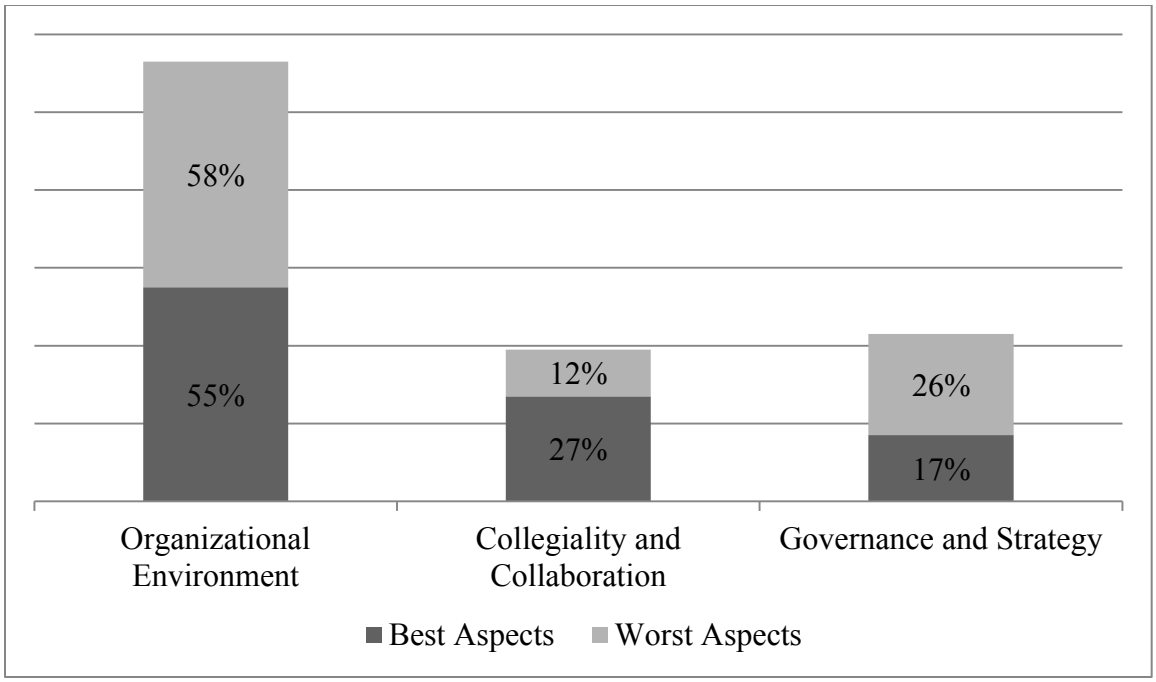

Figure 24. Comparison of the Top Three Best and Worst Aspects of Working at Neiman University. Responses are grouped by primary themes specific to this research. Data was retrieved from the Neiman University Institutional Report of the Medical School Job Satisfaction Survey developed by the Association of American Medical Colleges (AAMC) and The Collaborative on Academic Careers in Higher Education (COACHE), 2009. Responses related to the themes *Communication*, *Diversity and Equity*, *Harassment and Discrimination* received three percent or less than the total number of responses (by themes) for best aspects and worst aspects of working at the institution.

The researcher conducted content analysis of data results retrieved from the University of Cape Town (UCT) Institutional Climate Survey 2007 Report. Qualitative content analysis involved a thorough analysis of responses to survey item 3.1, "Please identify what you consider to be the three best aspects of working at UCT" and survey item 3.2, "Please identify what you consider to be the three worst aspects of working at UCT." Text responses by professional, administrative, and support staff (PASS) and academic staff are summarized and included in the final data report. UCT researchers coded responses into categorical themes and subthemes.

The researcher analyzed summarized text responses of academic staff and recoded the data to fit primary themes specific to this research. Considerable overlap was

identified among subthemes. Recoded data was transposed to fit into one of the following categorical themes: (1) Collegiality and Collaboration; (2) Communication; (3) Diversity and Equity; (4) Governance and Strategy; (5) Harassment and Discrimination; and (6) Organizational Environment.

Responses to Survey Item 3.1 "Please identify what you consider to be the three best aspects of working at UCT."

There are a total of 1,230 text responses by academic staff to survey item 3.1 "Please identify what you consider to be the three best aspects of working at UCT." Thirty-nine subthemes emerged from the text responses. Text responses unable to be aligned with a subtheme are grouped in the category "Other - Unspecified". Table 21 lists all subthemes categorized within each primary theme specific to this research.

Table 21

Grouped Responses to Question 3.1 "Please identify what you consider to be the three best aspects of working at UCT."

Primary Themes	Subthemes Summarized from Data Responses	Number of Data	Percent within Data
Organizational Environment	Educational aspects, location, reputation, academic freedom (autonomy), academic environment, flexibility, work hours, research support, rebates, resources and facilities, information resources, excellence, environment, working conditions, job security, remuneration, free expression, challenges, work variety, infrastructure, physical security, teaching support, up-to-date resources, and international locale	880	72%

Table 21 (continued).

Collegiality and Collaboration	Interpersonal relations, learning, colleagues, personal development, particular work (specialty), social responsiveness, cooperation, recognition, external networking, and passing along knowledge	271	22%
Governance and Strategy	Management, transformation, administration, historic significance (mission), and consultation	43	3%
Diversity and Equity	Demographic diversity of staff and students	35	3%
Communication	Not specified	-	-
Harassment and Discrimination	Not specified	-	-
Unspecified*	Other and unspecified "opportunities"	1	0%
Total Data		1230	100%

Note: From "UCT Institutional Climate Survey 2007 Report", The University of Cape Town, South Africa. Percentages are rounded to the nearest one.

Academic staff identified the following factors as the top five best aspects of working at UCT: (1) education, teaching, and working with students; (2) academic freedom to work independently; (3) physical environment and location of UCT; (4) the reputation of UCT and its standing; and (5) a stimulating academic environment. All five are categorized in the primary theme *Organizational Environment*. This theme had the highest number of text responses for identifying the best aspects for working at UCT. These top five aspects combined equal 41% of the total text responses relating to this

primary research theme. Listed below are subthemes and summarized responses of the best aspects of working at UCT aligned with the primary research theme *Organizational Environment*.

- Educational Aspects – Education, teaching, and working with students, young students, or high quality students.
- Location – Physical environment or setting (the mountain, view, etc.); convenient transportation; and convenient location.
- Reputation – Reputation of the institution and its standing in the country (South Africa; international reputation.
- Academic Freedom – Academic freedom to pursue own interests and work independently. Includes "self management" (e.g. not being constantly policed, left to get on with the job).
- Academic Environment – Stimulation; exposure to ideas, research seminars, and critical thinking; not a corporate environment; non-profit organization; academic discussions and interactions.
- Flexible Work Hours – Flexible work hours.
- Research Support – Support; opportunities; support for research; and innovation. Includes support for travel for conferences.
- Rebate – Discounts on tuition for self and family.
- Resources and Facilities – Resources and facilities.
- Information Resources – Library and information resources; access to online databases.

- Excellence – Academic excellence; standards; and values (in research in teaching).
- Environment (Unspecified) – Unspecified "environment" responses (could be physical, human, academic, etc.).
- Other Benefits – Medical, pension, or leave.
- Working Conditions – Working conditions; labor practices; and working hours (stressful).
- Flexibility – Unspecified "flexibility" responses.
- Job Security – Permanent position and security of a large organization.
- Remuneration – Remuneration; pay; and salary.
- Free Expression – Freedom of speech, expression, opinions, and debate.
- Challenges (Unspecified) – Other and unspecified "challenges".
- Variety of Work – Variety; diversity of work; and challenges.
- ICT Infrastructure – Computer, network, and information system infrastructure.
- Physical Security –Physical security on campus.
- Up-to-date Resources – Current, cutting edge research, and technology.
- Teaching support – Teaching support and academic development.
- Context of Africa (International locale) – The location of UCT and its environment as interesting; research worthy in itself.

Collegiality and Collaboration is the second highest primary theme identified as a best aspect of working at UCT. Responses related to this theme totaled 22% of the total number of text responses by academic staff to this survey item. Among 271 text

responses related to *Collegiality and Collaboration*, 11 subthemes emerged. Listed below are subthemes and summarized responses identifying the best aspects of working at UCT relating to *Collegiality and Collaboration*.

- Interpersonal Relations – Atmosphere, environment, or culture; friendly; supportive, respect, collegial, informal, and relaxed. Includes a "sense of belonging" community.
- Learning – Opportunities, encouragement, and environment for learning, furthering education, and skills development.
- Colleagues (Unspecified) – Colleagues, fellow employees, etc. Does not specify whether it is e.g. their quality, intelligence, friendliness, or support.
- Good Colleagues – High quality staff and exposure to leading figures, specialists, brilliant people that are hard working and dedicated.
- Particular work – Specific work, field, or project is considered fascinating, enjoyable, or interesting. The opportunity to work in a specialist field.
- Social Role of UCT – UCT making a difference in society, South Africa, Africa, etc. (through education and/or research).
- Cooperation – Collaboration, teamwork, information sharing, and interdepartmental communication.
- Recognition – Recognition of contributions made, feeling of being appreciated.
- Career – Conducive to career advancement, promotions, and career development opportunities.
- External Networking – Links to international organizations.

- Passing Along Knowledge – The enjoyment of personally passing along knowledge, skills, expertise to colleagues.

Governance and Strategy is the third highest primary research theme assessing the best aspects of working at UCT. Text responses aligned with this theme equal three percent of the total number of text responses to this survey item. Listed below are five subthemes and summarized responses identifying the best aspects relating to *Governance and Strategy*.

- Management – Effective positive management (either specific line manage or top management).
- Transformation – Transformation; progressive change; evolution; and improvement.
- Administration – Administration, support staff, human resources, and finance team are good.
- Historic Significance of UCT – The historical role of UCT and its current goals, vision, and mission.
- Consultation – Participatory management; the ability to influence how things are done.

Responses to Survey Item 3.2 "Please identify what you consider to be the three worst aspects of working at UCT."

There are 1,154 text responses to survey item 3.2 "Please identify what you consider to be the three best aspects of working at UCT." Text responses generated a total of 61 subthemes. Academic staff identified the following factors as the top five worst aspects of working at UCT: (1) bureaucracy and poor administrative support; (2) workload pressures; (3) poor remuneration; (4) negative interpersonal relationships; and

(5) dysfunctional and inadequate facilities. Table 22 lists all subthemes categorized within each primary theme specific to this research.

Table 22

Grouped Responses to Survey Item 3.1 "Please identify what you consider to be the three worst aspects of working at UCT."

Primary Themes	Subthemes Summarized from Data Responses	Number of Data	Percent within Data
Organizational Environment	Remuneration, work pressure, parking, resources and facilities, contract staff issues, IT infrastructure, benefits, research support, staff development, students, financial issues, lack of freedom (autonomy), student support, standards, free expression, location, lack of social responsibility, food and common areas, lack of academic culture, rate for job, inflexibility, teaching practices, campus security, outsourcing, joint staff issues, institutional arrogance, and SAP and Peoplesoft	406	35%
Collegiality and Collaboration	Interpersonal, relationships, rewards, working conditions, undervalued staff, lack of recognition, staff division, factionalism, teaching undervalued, staff treatment, staff, self-interestedness, academic arrogance, quality of colleagues, and specific field	151	13%
Governance and Strategy	Administrative systems, decision-making procedures, conservation, managers, non-participatory management, politicization, favoritism,	434	38%

Table 22 (continued).

	organization, accountability, overzealous transformation, staff turnover vacancies, and staff selection		
Diversity and Equity	Promotion, staff profile, unfair work distribution, exclusionary dominant culture	80	7%
Communication	Communication, management communication	28	2%
Harassment and Discrimination	Discrimination, reverse discrimination	61	5%
Total Data		1154	100%

Note: From "UCT Institutional Climate Survey 2007 Report", The University of Cape Town, South Africa. Percentages are rounded to the nearest one.

The theme with the largest number of data responses and identifying the worst aspects of working at UCT is *Governance and Strategy*. A total of 12 subthemes generated from 434 total text responses (38%). "Administrative systems" is the largest subtheme with 168 text responses. "Decision-making procedures" described as lack of strategy, lack of visioning, and lack of effective leadership is the second largest subtheme with 38 related text responses by academic staff. Listed below are subthemes and summarized responses identifying the worst aspects of UCT relating to the primary research theme *Governance and Strategy*.

- Administrative Systems – Bureaucracy; red tape; dysfunctional administration (e.g. finance, human resources); lack of secretarial support.
- Decision-making Procedures – Decision-making procedures; lack of strategy; lack of vision; lack of effective leadership; things not managed well.

- Conservatism – Resistance to change, transformation; conservatism; old school; dead wood.
- Managers – Managers unfair; bad behavior from managers; incompetent.
- Non-participatory Management – Lack of participatory management procedures; inability to influence policies; lack of transparency.
- Politicization – Politicization; political correctness; racial politics.
- Favoritism – Nepotism; favoritism; old boys club.
- Organization – University organization; structures; hierarchy; restructuring woes.
- Accountability – Lack of accountability; ineffective disciplinary procedures; lack of action against incompetence and bad behavior.
- Overzealous Transformation – Too much transformation; Erosion of UCT character.
- Staff Turnover Vacancies – Staff turnover and vacancies.
- Staff Selection – Skewed or inconsistent staff selection procedures.

Thirty-five percent of the total responses are categorized with the primary research theme *Organizational Environment*. This primary theme ranked as the second highest among the worst aspects of working at UCT. The top three subthemes identified as the worst aspects of the organizational environment at UCT include: (1) work pressure (63 text responses); (2) remuneration (62 text responses); and (3) resource and facilities (43 text responses). Listed below are subthemes and summarized responses identifying the worst aspects of working at UCT relating to the theme *Organizational Environment*.

- Remuneration – Poor pay and poor increases (e.g. below inflation); salary not fair given qualifications; not market related.
- Work Pressure – Pressure of the job; workload too much; difficulty balancing many things, typically research and teaching; no time for things that should be done.
- Parking – Difficulty finding parking; having to pay for parking; traffic.
- Resources and Facilities – Dysfunctional and inadequate facilities, equipment, and buildings; lack of resources; overcrowding.
- Contract Staff Issues – Contract staff undervalued; treated unfairly; job insecurity; other contract, part-time employee issues.
- IT Infrastructure – Internet is slow; ICTS support; quality of network computers.
- Benefits – Bad medical aid system; bad pension fund; lack of choice with medical, pension (e.g. too expensive); leave-related issues.
- Research Support – Poor research support; lack of research funding; lack of research initiatives.
- Staff Development – Lack of or ineffective staff development, training, courses, opportunities for study; lack of career development.
- Students – Quality of students; unpreparedness of students; bad attitudes of students; lowered standards for intake.
- Financial Issues – Financial management; other financial issues; budget; insufficient funds.

- Lack of Freedom – Lack of academic freedom; personal initiative not encouraged or allowed; lack of independence; micromanagement; policing.
- Student Support – Student support; UCT not student oriented; students undervalued, treated badly, or not taken into account.
- Standards – Quality of teaching; quality of research; low standards; lack of excellence; work ethic.
- Free Expression – Lack of free expression; debates; victimization; criticism is not tolerated.
- Location – Not in Johannesburg; far from the rest of the world.
- Lack of Social Responsibility – Lack of social (environmental); irrelevant and out-of-touch research.
- Food and Common Areas – Lack of good quality food on campus; lack of common areas; lack of supermarket.
- Lack of Academic Culture – Lack of academic culture; lack of intellectual stimulation; the university is run like a business.
- Rate for Job – Rate for job system.
- Inflexibility – Inflexibility in work hours, family needs; work at home.
- Teaching Practices – Teaching planning; course or degree structures; teaching practices; timetables; large classes.
- Campus Security – Campus security; crime.
- Outsourcing – Various complaints about outsourcing.
- Joint Staff Issues – Joint staff contracts; joint staff undervalued or neglected.

- Institutional Arrogance – Institutional arrogance; smugness (because of UCT reputation).
- SAP and Peoplesoft – SAP and Peoplesoft related issues.

The third highest theme identified as a worst aspect of working at UCT is *Collegiality and Collaboration*. Work pressures, interpersonal relationships, and working conditions are among the top three subthemes emerging from 151 related responses (13% of the total number of text responses). Listed below are subthemes and summarized responses identifying worst aspects relating to *Collegiality and Collaboration*.

- Interpersonal Relationships – Bad interpersonal relationships; unfriendliness; atmosphere; lack of cooperation; bad vibe; office politics; harassment; and nastiness.
- Rewards – Assessments; performance reviews; lack of incentives; rewards unfair or insufficient.
- Work Conditions – Staff support; working conditions; lack of mentoring; lack of support for new staff; unfairness; lack of counseling.
- Undervalued Staff – Professional, administrative, and support staff (PASS) not appreciated; PASS staff treated differently from academic staff.
- Lack of Recognition – Lack of contribution; contribution not valued.
- Staff Division – Academic and PASS divide.
- Factionalism – Factionalism and isolation between divisions, departments, and outside; silo mentality.
- Teaching Undervalued – Teaching undervalued; research overvalued.

- Staff Treatment – Treatment of PASS staff; treated rudely; looked down upon; not respected.
- Staff – PASS staff incompetent; PASS staff attitude (note: many qualify with "some").
- Self-interestedness – Self-serving behavior; selfishness.
- Academic Arrogance – Academic arrogance; elitism; aloofness.
- Quality of Colleagues – Unqualified or incompetent colleagues.
- Specific Field – Lack of appreciation or interested people in particular field, discipline, or department.

Fourteen percent of the remaining text responses identifying the worst aspects of working at UCT are grouped under one of the three remaining primary research themes: *Communication*, *Diversity and Equity*, and *Harassment and Discrimination*.

Summary of Best and Worst Aspects of Working at the University of Cape Town

The UCT Institutional Climate Survey Report 2007 summarized qualitative data responses to the survey items – "*Please identify what you consider to be the three best aspects of working at UCT"* and "*Please identify what you consider to be the three worst aspects of working at UCT."* The researcher categorized the summaries of subthemes into one of six primary research themes. Figure 25 demonstrates frequencies of responses by subthemes identified as the top three best and three worst aspects of working at UCT. It serves as a summary of percentage distributions based on grouped subthemes falling into one of the primary research themes.

Organizational Environment ranked as the highest best aspect (72% of text responses) and the highest worst aspect (35% of text responses). *Collegiality and Collaboration* ranked second as the best aspect (22% of text responses) and as the third

worst aspect (13% of text responses) of working at UCT. *Governance and Strategy* ranked as the third best aspect (3% of text responses) and the second worst aspect (38% of text responses). The remaining summarized subthemes for best and worst aspects of working at UCT are grouped with the remaining primary research themes *Communication*, *Diversity and Equity*, and *Harassment and Discrimination*.

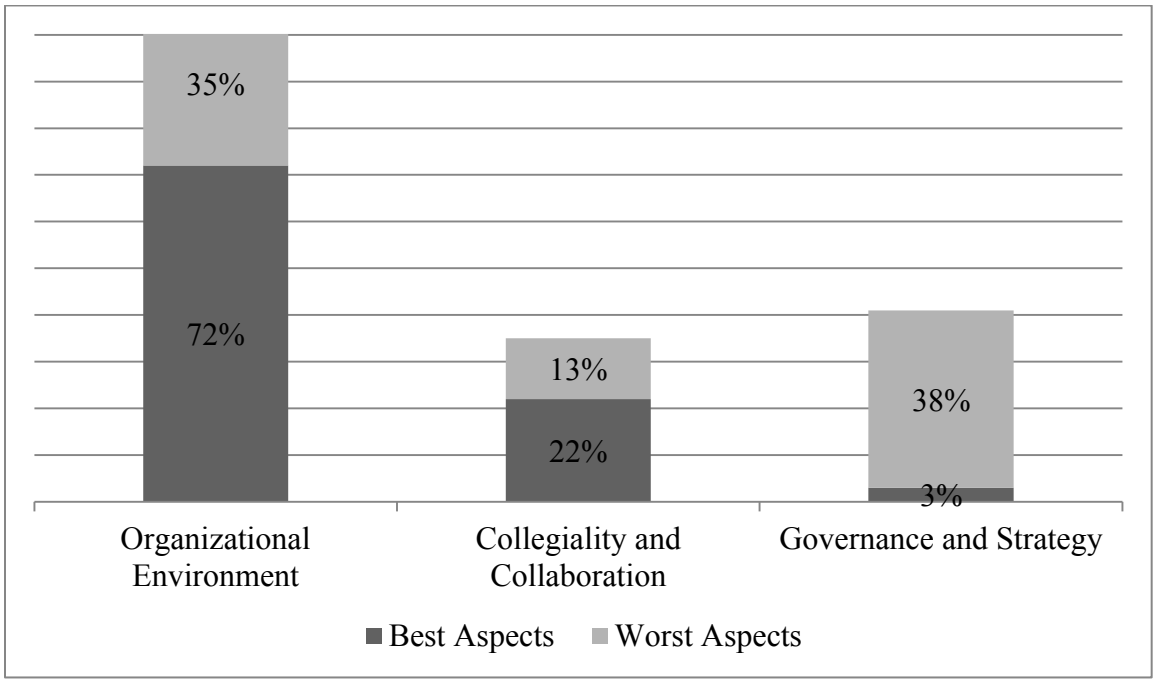

Figure 25. Comparison of the Top Three Best and Worst Aspects of Working at University of Cape Town. Responses are grouped by primary themes specific to this research. Data was retrieved from the University of Cape Town Institutional Climate Survey 2007 Report. Responses related to the themes *Diversity and Equity*, *Harassment and Discrimination*, and *Communication* were seven percent or less than the total number of responses (by themes) for best aspects and worst aspects of working at the institution.

Summary of Findings for Each Hypothesis

1. It was hypothesized that perceptions for improving institutional climates among faculty at higher education institutions in the United States are significantly different from perceptions of academic staff at higher education institutions in South Africa. This hypothesis is not supported. The researcher

has provided a set a generalizations relating to this hypothesis and not statistical significance. Survey dimensions relating to institutional climates are at least 10% or higher between survey responses by gender, race, and academic rank.

2. It was hypothesized that leaders communicating institutional priorities to employees is related to improving institutional climates. This hypothesis is supported. Survey dimensions relating to effective communication by management are at least 10% or higher between survey responses by gender, race, and academic rank.
3. It was hypothesized that faculty members and academic staff participating in institutional decision-making processes feel valued as employees. This hypothesis is partially supported. Survey responses are not filtered by participation in decision-making processes and employees feeling valued. These survey dimensions are measured independently from one another.
4. It was hypothesized that faculty members and academic staff of marginalized and underrepresented groups experience acts of discrimination at the institution. This hypothesis is not supported. Survey dimensions relating to discrimination are limited in the data analysis. A small number of summarized responses from qualitative survey items identifying the worst aspects of working at each institution are related to discrimination. Responses could not be aggregated by race, gender, or job role.
5. It was hypothesized that faculty members and academic staff of marginalized and underrepresented groups experience acts of unfair treatment at the institution. This hypothesis is supported. Survey dimensions relating to unfair

treatment are at least 10% or higher between survey responses by gender, race, and academic rank.

This chapter presented the findings of this study. Demographics of study participants and content data analysis from two independent studies at separate institutions are also discussed at great length in this chapter. The final chapter presents an overview of these findings and offers recommendations for future research.

CHAPTER V

SUMMARY

The purpose of this study was to investigate factors relating to institutional climates in higher education. This chapter presents summary of findings, conclusions, and implications of the study. Findings are presented for each research question that guided this study. The chapter further presents interpretation of these findings based on the theoretical framework for this study. Recommendations for future research and study implications are presented followed by a summary statement concluding this study.

Summary of Findings

This research showed that there are linkages between leadership, engagement, and institutional climates in higher education. The results demonstrate similarities and differences in perceptions and levels of engagement of institutional leaders, faculty, and academic staff at higher education institutions in United States and South Africa for improving institutional climates. This section interprets the findings relative to each research question and corresponding hypotheses. Findings are then interpreted to relate to the theoretical framework of this study and existing literature.

Major findings are noted in the primary research themes *Collegiality and Cooperation*, *Governance and Strategy*, and *Organizational Environment.* Females, minority races within the higher education system, and junior faculty members or academic staff were less satisfied or agreed less than males, majority races, and senior academic staff with survey items evaluated and compared for this research. Comparisons are outlined in the following sections.

Research Question 1: What are the similarities and differences in the levels of engagement of institutional leaders and academic staff for changing institutional culture post-segregation in the United States versus post-apartheid in South Africa?

Research question 1 was designed to compare the perceptions of faculty and academic staff to the dimensions of social constructs impacting institutional climates. Social constructs relevant to institutional climates at higher education institutions such as "collegiality and collaboration", "diversity and equity", "governance and strategy", and the "organizational environment" were aligned to this research question, measured and compared. Data was collected using survey instruments administered at separate institutions in different countries. Three hypotheses were generated from this research question.

Hypothesis 1: Perceptions for improving institutional climates among faculty at higher education institutions in the United States are significantly different from perceptions of academic staff at higher education institutions in South Africa.

Collegiality and Cooperation

The findings of this study provided generalizations from specific populations to the general. Differences in faculty and academic staff perceptions at Neiman University and the University of Cape Town exist regarding institutional support in promoting collegiality and opportunities for collaboration. Collegial practices are activities among faculty working in collaboration while developing the culture of an organization. The social relationships among members of the faculty are an important aspect of collegiality and determining whether they are positive to individuals and functional to organizations or whether they are negative and dysfunctional (Hatfield, 2006). Inadequate levels of

collegiality produce harmful effects and dysfunction such as bickering, insensitivity, lack of respect, harassment, and isolation (Hatfield, 2006).

Faculty of color are continuously underrepresented in graduate and professional schools across the country (Jayakumar, Howard, Allen, & Han, 2009). Equally of concern are the different experiences of diverse faculty than those of White faculty in the academy that often translate into disadvantages and racially discriminatory behaviors. Low numbers in the professoriate, barriers to tenure and promotion, feelings of isolation, and experiences of racial and ethnic bias are also challenges and barriers negatively influencing diverse faculty.

Findings from this study support ideologies that historically disadvantaged races have less collegial relationships and collaboration opportunities than majority races. There were lower percentages in agreement among comparable survey items relating to *Collegiality and Collaboration* and between institutions. Majority (i.e. White and Asian) and minority (i.e. Black) faculty members at Neiman University had higher percentages in agreement than academic staff at the University of Cape Town. Minority faculty at Neiman University agreed more than academic staff at University of Cape Town that they are satisfied with collaboration opportunities (42% at Neiman University > 21% at UCT). Within the University of Cape Town, 40% of majority academic staff was more satisfied with collaboration opportunities than 21% of minority academic staff (see Table 23).

Table 23

Summary of Percentages of Agreement or Satisfaction with Comparable Survey Items and Subthemes Related to the Primary Theme: Collegiality and Collaboration

Table 23 (continued).

Theme: Collegiality and Collaboration						
	Gender		Race		Academic Rank	
	Male	Female	Majority	Minority	Junior	Senior
Neiman University						
Promotes collegiality	65%	72%	67%	71%	69%	64%
Satisfied with collaboration opportunities	46%	48%	47%	43%	50%	43%
Satisfied with relationships with colleagues	75%	77%	76%	75%	77%	73%
University of Cape Town						
Cooperation & collaboration opportunities	39%	33%	40%	21%	28%	42%
Satisfied with relationships with colleagues	50%	51%	53%	40%	47%	53%

Note: For the University of Cape Town, the race category includes percentages by Whites under "majority" and African, Coloured and Indian under "minority". African, Coloureds, and Indian populations are historically excluded races in the academic staff at UCT. Percentages do not include foreign academic staff for this category.

Minority academic staff (i.e. African and Coloured and Indian) at the University of Cape Town agreed significantly less than minority faculty members (i.e. Black) at Neiman University that their institution promoted collegiality, cooperation, and collaboration among faculty and academic staff. There was a 21% difference between survey responses to the comparable survey items. Lower percentages in agreement were also noted by gender and academic rank. A 16% difference between responses by female faculty members at Neiman University and female academic staff at the University of Cape Town is presented in Table 23 regarding agreement or satisfaction with opportunities for collaboration at each institution. Female faculty members at Neiman

University agreed more than female academic staff at UCT (48% at Neiman University > 33% at UCT).

Junior academic staff at the University of Cape Town agreed less than senior academic staff with opportunities for collaboration at the institution by 14% (28% junior academic staff < 42% senior academic staff). In comparing responses by institution, junior faculty members at Neiman University agreed more than junior academic staff at the University of Cape Town with opportunities for collaboration at their respective institution. There was a 22% difference in the average responses for comparable survey items (50% at Neiman University > 28% at UCT) (see Table 23, p. 153).

Levels of satisfaction with relationships with colleagues was also measured and compared between responses of faculty members and academic staff at Neiman University and the University of Cape Town. Aggregated responses in agreement by gender, race, and academic rank were significantly higher in all categories at Neiman University compared to responses from comparable survey items measuring satisfaction with relationships with colleagues at the University of Cape Town. Differences in percentages ranged from 22% to 30%. Major differences are noted in responses between female faculty members and academic staff (77% at Neiman University > 51% at UCT); minority faculty members and academic staff (75% at Neiman University > 40% at UCT); and junior faculty members and academic staff (77% at Neiman University > 47% at UCT). Further research is needed to test hypotheses relating to the effects of collegiality and negative racial climates.

Governance and Strategy

A compelling reason that institutions need to secure greater faculty diversity lies in the potential that underrepresented or minority faculty bring toward institutional and

societal transformation (Hatfield, 2006). Research also demonstrates that job satisfaction, including aspects of morale and sense of community, is related to faculty retention. Findings from this study explore strategy that supports the retention of diverse faculty members and academic staff at Neiman University and the University of Cape Town. Survey responses were compared to determine levels of agreement with staff retention strategies at each institution. Aggregated responses in agreement by gender, race, and academic rank were higher in all categories at the University of Cape Town compared to responses to comparable survey items measuring successful retention strategies at Neiman University. Differences in percentages ranged from 11% to 36%. Major differences are noted in the responses between male faculty members and academic staff (24% at Neiman University < 59% at UCT); majority faculty members and academic staff (30% at Neiman University < 57% at UCT); and senior faculty members and academic staff (24% at Neiman University < 62% at UCT) (see Table 24).

Table 24

Summary of Percentages of Agreement or Satisfaction with Comparable Survey Items and Subthemes Related to the Primary Theme: Governance and Strategy

Theme: Governance and Strategy						
	Gender		Race		Academic Rank	
	Male	Female	Majority	Minority	Junior	Senior
Neiman University						
Satisfaction with faculty opportunities to participate in governance activities at the institutional level	40%	49%	43%	49%	46%	39%
Satisfaction with faculty opportunities to participate	52%	55%	53%	54%	55%	51%

Table 24 (continued.)

in governance activities at the departmental level						
Understanding long-term objectives of institution	55%	62%	59%	50%	62%	54%
Successful staff retention strategy	24%	40%	30%	23%	35%	24%
Successful recruitment of diverse staff	62%	64%	64%	45%	62%	64%
University of Cape Town						
Staff are consulted in governance activities at the institutional level	48%	47%	51%	44%	41%	52%
Staff are trusted in the decision-making processes	50%	49%	54%	41%	47%	51%
Understanding long-term objectives of institution	43%	46%	45%	42%	37%	56%
Successful staff retention strategy	59%	51%	57%	47%	50%	62%
Lack of effort in recruiting diverse staff	27%	34%	25%	53%	25%	33%

Note: For the University of Cape Town, the race category includes percentages by Whites under "majority" and African, Coloured and Indian under "minority". African, Coloureds, and Indian populations are historically excluded races in the academic staff at UCT. Percentages do not include foreign academic staff for this category.

Organizational Environment

Survey responses related to the category *Organizational Environment* were measured and compared. Percentages of responses in agreement by faculty members at Neiman University regarding feeling a sense of belonging were higher than responses from academic staff at the University of Cape Town. Major differences are noted in the responses between female faculty members and academic staff (78% at Neiman University > 50% at UCT); minority faculty members and academic staff (77% at

Neiman University > 35% at UCT); and junior faculty members and academic staff (80% at Neiman University > 37% at UCT) (see Table 25).

Table 25

Summary of Percentages of Agreement or Satisfaction with Comparable Survey Items and Subthemes Related to the Primary Theme: Organizational Environment

Theme: Organizational Environment						
	Gender		Race		Academic Rank	
	Male	Female	Majority	Minority	Junior	Senior
Neiman University						
Sense of belonging	77%	78%	78%	77%	80%	75%
Satisfaction with professional development opportunities	52%	53%	54%	37%	55%	48%
Institution supports work life balance	55%	62%	56%	66%	66%	49%
Overall job satisfaction	61%	71%	63%	71%	72%	57%
University of Cape Town						
Sense of belonging	50%	50%	56%	35%	43%	61%
Satisfaction with professional development opportunities	51%	48%	52%	47%	45%	54%
Institution supports work life balance	34%	37%	36%	29%	36%	32%
Overall job satisfaction	61%	58%	63%	52%	58%	62%

Note: For the University of Cape Town, the race category includes percentages by Whites under "majority" and African, Coloured and Indian under "minority". African, Coloureds, and Indian populations are historically excluded races in the academic staff at UCT. Percentages do not include foreign academic staff for this category.

Similarities are noted in percentages of survey responses related to levels of satisfaction with professional development opportunities among faculty members at Neiman University and academic staff at the University of Cape Town. Differences in percentages between survey responses by institution, gender, race, and academic rank are 10% or less. Strong similarities are noted in the responses between male faculty members and academic staff (52% at Neiman University > 51% at UCT); majority faculty members and academic staff (54% at Neiman University > 52% at UCT); and senior faculty members and academic staff (48% at Neiman University < 54% at UCT). Minority faculty members at Neiman University are less satisfied with professional development opportunities compared to minority academic staff at the University of Cape Town (37% at Neiman University < 47% at UCT). Junior faculty members at Neiman University are more satisfied with professional development opportunities compared to junior academic staff at the University of Cape Town (55% at Neiman University > 45% at UCT).

Percentages of responses in agreement by faculty members at Neiman University regarding institutional support for work life balance were higher than responses from academic staff at the University of Cape Town. Major differences are noted in the responses between female faculty members and academic staff (62% at Neiman University > 37% at UCT); minority faculty members and academic staff (66% at Neiman University > 29% at UCT); and junior faculty members and academic staff (65% at Neiman University > 36% at UCT).

All responses relating to overall job satisfaction by institution, gender, race, and job role were 52% and above in the data results for both surveys. This is indicative that

the majority of the respondents are satisfied with their jobs at Neiman University and the University of Cape Town regardless of race, gender, and job role.

Hypothesis 4: Faculty members and academic staff of marginalized and underrepresented groups experience acts of discrimination at the institution.

Findings from this study did not support this hypothesis. The survey administered at Neiman University did not measure discrimination. Research shows that Black faculty members face barriers due to the historical, cultural, and social factors that frequently have shaped their relations with Whites generally (Allen, Epps, Guillory, Suh, & Bonous-Hammarth, 2000). Pervasive attitudes of racism, access, and power continue to limit educational opportunities for Blacks in the United States. These inequities produce achievement gaps in modern U.S. education that explains the scarcity of Blacks as members of the nation's higher education faculty (Allen, Epps, Guillory, Suh, & Bonous-Hammarth, 2000).

In South Africa, social, political, and economic discrimination and inequalities of a class, race, gender, institutional, and spatial nature profoundly shaped and continues to shape South African higher education (Badat, 2010). As part of the transformation efforts in the country, goals of the higher education system attempts to eradicate all forms of unfair discrimination and advance redress for past inequalities.

Hypothesis 5: Faculty members and academic staff of marginalized and underrepresented groups experience acts of unfair treatment at the institution.

Diversity and Equity

Survey responses at Neiman University revealed that female faculty members, minority faculty members (i.e. Black), and junior faculty members agreed less than male faculty members, majority faculty members (i.e. White and Asian), and senior faculty

members on social constructs relating to *Diversity and Equity* at the institution. The majority of all responses by gender, race, and academic rank were above 50%. Differences in percentages of responses were greater among responses grouped by race and ranged from 18% to 28%. Minority faculty members (i.e. Black) at Neiman University agreed less than majority faculty members that the institution has fair promotion practices based on race and gender (see Table 26). In comparison to the University of Cape Town, minority academic staff (i.e. African and Coloured and Indian) agreed less than majority academic staff that they are treated fairly, not being treated differently based on diversity group memberships, and that employment practices are fair. Minority academic staff also agreed significantly less than majority academic staff at UCT that staff is valued and respected based on diversity group memberships (see Table 26).

Table 26

Summary of Percentages of Agreement or Satisfaction with Comparable Survey Items and Subthemes Related to the Primary Theme: Diversity and Equity

Theme: Diversity and Equity						
	Gender		Race		Academic Rank	
	Male	Female	Majority	Minority	Junior	Senior
Neiman University						
Equal opportunities based on different identities	70%	70%	72%	52%	69%	69%
Fair promotion practices based on gender	65%	58%	64%	46%	60%	64%
Fair promotion practices based on race	61%	57%	63%	35%	58%	63%

Table 26 (continued).

University of Cape Town						
Fairness in treatment*	31%	31%	34%	23%	21%	41%
Unfair workload distribution	47%	60%	51%	51%	54%	51%
Not being treated differently based on different identities	47%	46%	51%	33%	46%	49%
Being valued and respected based on different identities	30%	22%	32%	11%	22%	32%
Fair employment practices	38%	31%	34%	38%	33%	37%
Feel disadvantaged by promotion practices	36%	32%	36%	31%	37%	55%

Note: For the University of Cape Town, the race category includes percentages by Whites under "majority" and African, Coloured and Indian under "minority". African, Coloureds, and Indian populations are historically excluded races in the academic staff at UCT. Percentages do not include foreign academic staff for this category. *Percentages represent the average of combined responses from survey items 1.1, 1.2, and 1.3. Survey item 1.3 is asked in reverse.

By gender and academic rank, female academic staff and junior academic staff at UCT agreed less than male academic staff and senior academic staff that staff is valued and respected based on diversity group memberships. Variances in percentages from responses by academic staff to this construct ranged from 8% to 10%. Lastly, minority academic staff and junior academic staff agreed less than majority academic staff and senior academic staff that they are treated fairly at the University of Cape Town. In comparing responses by institution relating to the primary research theme *Diversity and Equity*, overall academic staff at the University of Cape Town were less satisfied with treatment and diversity-related practices than faculty members at Neiman University (see Table 26, p. 161).

These findings position dimensions of institutional climates evident in staff perceptions and attitudes about positive interactions, diversity-related commitments, and

workplace environments. The researcher of this study believes that diversity-related policies in place at the University of Cape Town are not as effective or intended outcomes are not being met. A possible explanation could be the 1994 legislation ending discriminatory practices in South Africa later than similar legislation in the United States enforced in 1964. The United States has a 30-year head start on South Africa in enacting laws supporting fair and equitable treatment of citizens.

Transformation in South African higher education is a much newer paradigm than that of transformation in higher education in the United States. The most significant aspect of these findings is that they support the assertion that similarities and differences exist in the perceptions of faculty and academic staff at higher education institutions in separate countries or cross-nationally in their attempts to redress imbalances of the past.

Findings from this study partially support the study conducted by Mayhew, Grunwald, and Dey (2006) that investigated the diversity climate at a Midwestern, predominately white institution in the United States. Factors (i.e. independent variables) in the study that were investigated to link to a "positive climate for diversity" (i.e. dependent variable) included staff demographics (i.e. gender, race, age, and education), staff professional characteristics (i.e. length of employment, job classification, ad job affiliation), diversity within the department, perceptions of institutional commitments to diversity, and personal experiences with diversity. The study concluded that staff demographics, diversity within the department, institutional commitments to diversity, and staff experiences with diversity contributed significant to explaining staff perceptions of their institutions as having achieved a positive climate for diversity (Mayhew, Grunwald, & Dey, 2006). Specifically, females were significantly less likely than males to perceive that the campus had achieved a positive climate for diversity. Older staff

members were significantly more likely to perceive that the institution had achieved a positive climate for diversity than younger staff members.

Results of the study by Mayhew, et. al. (2006) identified significant findings related to departmental climates for diversity. Controlling for staff demographics, professional characteristics of staff, and diversity within the department, staff members working in "diversity-friendly" climates (i.e. non-racist, non-sexist, non-homophobic environments) were significantly more likely to perceive that the institution had achieved a positive climate for diversity than staff that worked in "diversity-unfriendly" environments. On the institutional level, the perceptions of staff members on obstacles towards achieving diversity significantly influence their perceptions of the campus community as having achieved a positive climate for diversity. For clarity, staff members who were more likely to perceive that there were major institutional obstacles (i.e. scarcity of qualified women and minorities and insufficient interest in recruiting diverse staff) to increasing campus diversity were less likely to perceive that the institution had achieved a positive climate for diversity.

The study by Mayhew, et. al. (2006) concluded that it is important for institutional leaders to understand that staff perceptions are influenced by a wide variety of factors, ranging from previous experiences with diversity to present on-campus experiences with prejudice and discrimination. The researchers also discuss roles of institutional leaders in understanding that staff perceptions can be influenced and that they have the power to be effective agents for changing the opinions of staff members about the role and value of campus diversity.

In South Africa, the need to shift academic profiles in ways that are more representative of a diverse society is part of a new political order. Thaver (2010)

investigated five institutions in South Africa under transitions towards equity. Three of the institutions are historically White institutions (HWIs) and the remaining two are historically Black institutions (HBIs). Sixty-one semi-structured interviews with Black and White academics were conducted across the five institutions. Topics related to governance, teaching, and research were primary frameworks of the interviews. Thaver (2010) revealed unfairness in academic appointments and promotion practices, limited opportunity for curricula diversification, and evidence of research with a European focus viewed as higher value opposed to research topics with local or African orientation. The evidence from this study concluded that tensions impact institutional reform practices towards greater equity in South African higher education. Findings from this study are partially consistent with findings from the study of the researcher.

Research Question 2: What cross-national strategies are used by institutional leaders involved in transformation in higher education institutions for influencing change?

Research question 2 was designed to compare the perceptions of faculty members and academic staff to the dimensions of leadership engagement and social constructs impacting institutional climates at separate institutions. Social constructs relevant to *Communication* and *Governance and Strategy* were measured and compared. Survey instruments were administered at separate institutions in different countries. Two hypotheses were generated from this research question.

Hypothesis 2: Leaders communicating institutional priorities to employees is related to improving institutional climates.

Communication

Communication is the vehicle through which leaders and subordinates create, nurture, and sustain useful exchanges (Northouse, 2004). In addition, effective leadership occurs when the communication of leaders and subordinates is characterized by mutual trust, respect, and commitments. Findings from this study support the hypothesis that academic leaders communicating institutional priorities is related to improving institutional climates. Minority faculty members and academic staff at Neiman University and the University of Cape Town had lower levels in agreement with effectiveness of communication with university management than majority faculty members and academic staff at each institution (see Table 27). By gender, male faculty members and academic staff agreed less than female faculty and academic staff at each institution. Percentages across most of the categories at the University of Cape Town were lower than percentages in agreement at Neiman University. Differences in percentages ranged from 3% to 15%.

Table 27

Summary of Percentages of Agreement or Satisfaction with Comparable Survey Items and Subthemes Related to the Primary Theme: Communication

Theme: Communication						
	Gender		Race		Academic Rank	
	Male	Female	Majority	Minority	Junior	Senior
Neiman University						
Satisfied with communication from university management	45%	53%	48%	43%	54%	40%

Table 27 (continued).

Satisfied with communication from the department chair	67%	71%	69%	58%	73%	64%
University of Cape Town						
Effective communication by university management	37%	42%	39%	38%	39%	37%
Regular and open communication	56%	52%	56%	52%	49%	61%

Note: For the University of Cape Town, the race category includes percentages by Whites under "majority" and African, Coloured and Indian under "minority". African, Coloureds, and Indian populations are historically excluded races in the academic staff at UCT. Percentages do not include foreign academic staff for this category.

Eldridge and Mason (2010) examined effectiveness of communicating with stakeholders in higher education. Their investigation determined that communicating with stakeholders is important in any crisis or time of change. Institutions with ongoing issues and concerns linger if communication is ineffective. Strong communication plans keep stakeholders focused on strategic messages and minimizes the manifestation of critical issues impacting the institution (i.e. budget cuts, staff reductions). Eldridge and Mason (2010) suggest that comprehensive communication strategies must incorporate: (1) understanding the institutional mission; (2) understanding the campus culture and circumstance; (3) understanding and using available resources; (4) understanding and using available communication tools; (5) addressing different needs of various stakeholders; and (6) anticipating reactions perpetuating the message.

Hypothesis 3: Faculty members and academic staff participating in institutional decision-making processes feel valued as employees.

Governance and Strategy

Shared governance has been one of the hallmarks of higher education, allowing various stakeholders to provide input into the decision-making process (Miller, 2003). This collaborative effort involves different actors in making decisions and identifying intended outcomes that serve the best interest of the institution. Miller and Nadler (2009) investigated staff governance strategies by surveying 225 randomly selected academic leaders in governing roles across 115 institutions. Five strategies with the strongest level of agreement include: (1) staff governance deals with important issues relevant to campus; (2) staff governance is visible to the campus community; (3) the system of staff governance retains strong leaders; (4) the system of staff governance has smooth systems in place to deal with issues; and (5) support from higher administration on initiatives to improve campus environments for staff. The study concludes that mutual respect and communication by all layers of administration are needed in the shared governance process. Academic leaders must look at contextual areas such as providing support to improve campus for staff, support efforts to improves work environments, provide important and relevant issues to staff senates to work with, and promote a culture that values staff input.

Findings from the study of the researcher are consistent with the literature. Levels of satisfaction with faculty opportunities to participate in governance activities at the institutional level at Neiman University grouped by gender, race, and academic rank ranged from 40% to 49% in agreement across all groups (i.e. male and female faculty members, majority and minority faculty members, and junior and senior faculty members) (see Table 24, p. 156). At the University of Cape Town, similar results regarding staff consultation in governance activities at the institutional level ranged from

41% to 52% in agreement. The major differences between institutions was among senior academic staff that was the highest group in agreement at the University of Cape Town (52%) compared to senior faculty members at Neiman University (39%) which was the lowest group in agreement with participation or consultation in governance activities at the institutional level.

Differences in the understanding of long-term objectives at each institution were noted in this study. Male and female faculty members at Neiman University had greater percentages in understanding long-term objectives than male and female academic staff at UCT (males=55% at Neiman University > 43% at UCT; females= 62% at Neiman University > 46% at UCT). By race, majority faculty members and academic staff at Neiman University and the University of Cape Town were more understanding of the long-term objectives of the institution than minority faculty members and academic staff. In comparing institutions, 59% were in agreement at Neiman University compared to 45% at UCT. Significant differences by academic rank were demonstrated in responses by academic staff at UCT. Senior academic staff (56%) had the greatest percentage in agreement with understanding long-term objectives at UCT than junior academic staff (37%). Comparing responses by institution by academic rank, junior faculty members at Neiman University agreed more than junior academic staff at UCT with understanding long-term objectives at the institution (62% at Neiman University > 37% at UCT) (see Table 24, p. 156).

These findings support previous research as the results indicate that levels of participation in governance activities make a difference in the perceptions of faculty members or academic staff on improving institutional climates. Findings do not support the hypothesis that perceptions of faculty members or academic staff feeling valued as

employees if participating in shared governance activities. Additional research is needed to examine this possibility.

In South African higher education, a real commitment to the processes of transformation, diversity management, and organizational change begins with the will, desire, and desire to transform (Norris, 2001). Policies such as the Employment Equity Act of 1998 will eventually accelerate workplace equity and promote fair treatment in the workplace through the elimination of unfair discrimination to address disadvantages experienced by designated groups (Blacks [African, Coloured, and Indian], women, and people with disabilities). Courageous leaders must entertain solutions to ensure equitable representation in all occupational categories and levels in the workforce (Norris, 2001).

Findings from Qualitative Data

Findings from text responses to survey items relating to the best and worst aspects of working at Neiman University and the University of Cape Town support existing literature regarding collective experiences and perceptions of faculty and academic staff at higher education institutions interested in transformation. Findings also support existing factors relating to social constructs that transform institutional climates. Coded text responses and number of data by primary research theme are in Chapter IV (Tables 19-22). Respondents from each survey identified dimensions of the primary research themes *Collegiality and Collaboration*, *Governance and Strategy*, and the *Organizational Environment* as the top three best aspects and top three worst aspects of working at Neiman University and the University of Cape Town. Lower percentages of responses were coded and grouped in the remaining primary research themes *Communication*, *Diversity and Equity,* and *Harassment and Discrimination.* These findings support generalizations in existing literature.

Conclusions

This study helped to understand similarities and differences in perceptions of faculty members and academic staff at higher education institutions in the United States and South Africa in relation to improving factors influencing institutional climates. Primary research themes included *Collegiality and Collaboration*, *Communication*, *Diversity and Equity*, *Governance and Strategy*, *Harassment and Discrimination*, and *Organizational Environment*. The study also helped to understand how academic leaders influence change in higher education.

One major conclusion is that minority faculty, women, and junior faculty members and academic staff in each country remain less likely to agree with social constructs involving fairness, treatment, feeling a sense of belonging, collegial atmospheres, and opportunities for collaborations. This is linked to inherited struggles from historical discriminatory practices. Differences between the countries studied included higher percentages in agreement in the United States than South Africa across all survey dimensions relating to the primary research themes and among all groups surveyed. This is likely due to the phenomenon of change in South Africa not beginning transformation efforts in higher education until the mid-1990s. The country did not go into transition to democratic order until then, especially sectors such as higher education that was under pressure from the government to implement reforms (Thaver, 2010). Although the United States has also had its legacy of exclusion for certain groups (i.e. women, African Americans, persons with disabilities, etc.), the country has been involved in implementing laws, policies, and practices promoting equity for nearly 48 years. This a major head start compared to South Africa.

Research on transformational leadership has focused on the content and impact of leaders (Saghal & Pathak, 2007). The emphasis has been on the qualities and dispositions of transformational leaders, how they influence change in organizations, and how they inspire followers to increase their performance, motivation, and morale. Based on data from this study, academic leaders are influential in the perceptions and beliefs of how faculty members and academic staff view the success of transformation efforts. A comparison of responses shows that all involved in governance and strategy are linked to what transformational leadership entails. Adequate communication, clear messages about long-term objectives, and participation in governance activities are drivers of any transformation processes and build capacity for change.

Limitations

The findings presented in this dissertation was from the use of secondary data retrieved from data reports involving the assessment of climates at separate higher education institutions in the United States and South Africa. The researcher relied on findings from these studies to attempt to answer research questions and hypotheses. The researcher was unable to conduct comprehensive statistical analyses on data retrieved from the Medical Faculty Job Satisfaction Survey 2009 administered at Neiman University and the UCT Institutional Climate Survey 2007 administered at the University of Cape Town. Raw data was not available to the researcher to perform any other analyses besides descriptive analyses. Regarding the qualitative data presented in this study, individual open-ended responses to each question were not available in the UCT Institutional Climate Survey 2007 Report as compared to the data report for the Medical Faculty Job Satisfaction Survey 2009. The researcher used summarized information

provided in the report to code text responses and group them into one the six primary research themes.

Recommendations

The investigation of campus climates in countries with turbulent histories involving race relations such as the United States and South Africa should be a consistent process. Increased demands for campus diversification, faculty satisfaction, and engaged leadership suggest that faculty members and academic staff globally are impacted by what is valued and supported within their work environments. The following are recommendations for future research.

1. Conduct a scan of institutional climate studies at higher education institutions in other countries negatively affected by political order for comparison purposes.
2. Adopt more robust techniques to offer comparisons based on statistical significance and not generalizations.
3. Empirically test hypotheses related to each social construct or dimension of the institution undergoing transformation. Such research would be helpful to researchers that study individual constructs (i.e. collegiality, communication, governance, strategy, etc.).
4. Conduct an assessment of the impact of evaluating institutional climates during strategic planning processes at the institution.
5. Investigate differences of institutional climates between colleges and universities without professional schools and teaching hospitals compared to those with professional schools and teaching hospitals.

6. Investigate differences in job satisfaction between staff with clinical responsibilities and staff without clinical responsibilities.

Implications of the Study

The role of leadership in the overall organizational performance is of great importance. Higher education institutions globally are increasing momentum by identifying transformational leaders and approaches appropriate for change. Academic leaders should strive to offer inclusivity in decision-making processes as it relates to faculty engagement and diversity strategy at the institution.

The next step is to study specific approaches used by academic leaders using different samples (i.e. presidents or chancellors, vice chancellors, deans, department chairs). This study does not determine traits and qualities of academic leaders governing transformation efforts. We also need to gain a better understanding on areas where there is dissension on issues impacting positive institutional climates. It is not clear what constitutes effective leadership in higher education transformation processes without knowing specific strategies for change.

APPENDIX A

INSTITUTIONAL REVIEW BOARD NOTICE OF COMMITTEE ACTION

THE UNIVERSITY OF
SOUTHERN MISSISSIPPI

INSTITUTIONAL REVIEW BOARD
118 College Drive #5147 | Hattiesburg, MS 39406-0001
Phone: 601.266.6820 | Fax: 601.266.4377 | www.usm.edu/irb

NOTICE OF COMMITTEE ACTION

The project has been reviewed by The University of Southern Mississippi Institutional Review Board in accordance with Federal Drug Administration regulations (21 CFR 26, 111), Department of Health and Human Services (45 CFR Part 46), and university guidelines to ensure adherence to the following criteria:

- The risks to subjects are minimized.
- The risks to subjects are reasonable in relation to the anticipated benefits.
- The selection of subjects is equitable.
- Informed consent is adequate and appropriately documented.
- Where appropriate, the research plan makes adequate provisions for monitoring the data collected to ensure the safety of the subjects.
- Where appropriate, there are adequate provisions to protect the privacy of subjects and to maintain the confidentiality of all data.
- Appropriate additional safeguards have been included to protect vulnerable subjects.
- Any unanticipated, serious, or continuing problems encountered regarding risks to subjects must be reported immediately, but not later than 10 days following the event. This should be reported to the IRB Office via the "Adverse Effect Report Form".
- If approved, the maximum period of approval is limited to twelve months. Projects that exceed this period must submit an application for renewal or continuation.

PROTOCOL NUMBER: **11082902**
PROJECT TITLE: **A Comparison of Institutional Climates in Higher Education in the United States and South Africa**
PROJECT TYPE: **Dissertation**
RESEARCHER/S: **Juanyce Deanna Taylor**
COLLEGE/DIVISION: **College of Arts & Letters**
DEPARTMENT: **International Development**
FUNDING AGENCY: **N/A**
IRB COMMITTEE ACTION: **Expedited Review Approval**
PERIOD OF PROJECT APPROVAL: **09/13/2011 to 09/12/2012**

Lawrence A. Hosman
Lawrence A. Hosman, Ph.D.
Institutional Review Board Chair

9-14-2011
DATE

APPENDIX B

THE UCT INSTITUTIONAL CLIMATE SURVEY 2007

UCT Institutional Climate Survey

2007

UNIVERSITY OF CAPE TOWN

Vice-Chancellor & Principal

University of Cape Town
Bremner Building Room 101
Private Bag X3 Rondebosch 7701
Telephone: 27 (0) 21 650 2105/6
Fax: 27 (0) 21 650 5100
Email: vc@ramsaycut.ac.za

30 April 2007

Dear Colleague

Improving our "institutional climate" - our applied cultures and values, and the ways in which we relate to one another - is one of our central objectives in transformation. In order to strive for such improvements, we have to be able to hear what people think across the full range of our professional, support and service departments and in our Faculties and diverse departments. We also have to find ways of measuring how well we are doing through time, so that we can see if our institutional climate is improving or deteriorating, and fine tune our policies such that they make a difference.

With this in mind, I ask that you take about thirty minutes to complete the Institutional Climate Survey. This builds on our first survey, conducted in 2003, and its results will be particularly important at this stage in our transformation as a university. Your confidentiality is guaranteed (whether you complete the survey on-line or in its paper version), and I encourage you to say what you really think.

Thank you for your help.

Yours sincerely

Professor Njabulo S. Ndebele
Vice-Chancellor and Principal

UCT Institutional Climate Survey 2007

What is this survey?

The purpose of this survey is to gather information from ALL staff members about various aspects of the work experience and climate at UCT. It is an opportunity to say what you feel about the working environment at UCT, what you think could be improved and to comment on the things that you believe the University is doing well. This is a follow-up survey from 2003, so it is also an opportunity to see whether there have been any changes since then.

What will the results be used for?

The results of this survey will be used to identify those aspects of the working environment that need attention. In order for it to be successful, the survey depends on your contribution. Any suggestions you may have will assist the University to plan for our joint future. Based on your responses to this survey, a barometer will be developed that will be used for more regular assessment of institutional climate at UCT.

Who will see my answers?

The information you give is totally confidential. You should not insert your name anywhere on the questionnaire.The findings will be made available, after completion of the project at the end of August 2007, to all participants in a way that it is not possible for individuals to be identified. At no time will anyone have access to any of the questionnaires completed by individuals and these will be destroyed after coding. The questionnaire will be processed in a manner that protects your identity.

How long will it take?

The questionnaire will take about 30 minutes to complete.

How is the survey constructed?

The questionnaire is divided into five main sections. The first section is concerned with your personal experiences and opinions as a staff member at UCT. The second section asks questions about your experiences in relation to students. The third section deals with general aspects of working at UCT. Section four contains demographic questions. Personal information is requested because the particular value of this survey is in our ability to analyse the data along many different dimensions of diversity. The final section invites you to make some general comments.

How should I respond?

Please answer all the questions, and return the completed questionnaire by **18th May**.

Giving consent

Participation in this survey is voluntary. Please indicate your willingness to complete the survey or not, by chosing a box below:

☐ **Yes** ☐ **No**

Section 1: Personal Experiences

Based on your own experience during the last year as a staff member of the University of Cape Town, please respond to each of the statements in the section below. For each statement, indicate the extent to which you agree or disagree with the statement by circling ONE of the numbers from 1 to 5 to the right of the statement.

		Strongly Disagree				Strongly Agree
1.1	Academic staff are treated fairly at UCT.	1	2	3	4	5
1.2	Professional, administrative, service and support staff (PASS) are treated fairly at UCT.	1	2	3	4	5
1.3	My most recent performance evaluation was an unfair reflection of my contributions.	1	2	3	4	5
1.4	Workload is unfairly distributed among the people with whom I work.	1	2	3	4	5
1.5	Offices and departments at UCT do not willingly share information and resources with each other.	1	2	3	4	5
1.6	An atmosphere of cooperation and collaboration exists at UCT.	1	2	3	4	5
1.7	There is mutual respect between academics and PASS at UCT.	1	2	3	4	5
1.8	I am satisfied with my relationships with those staff to whom I report.	1	2	3	4	5
1.9	I am satisfied with my relationships with those staff who report to me.	1	2	3	4	5
1.10	Rewards at UCT are based on performance.	1	2	3	4	5
1.11	Staff at UCT are not always recognised for good work.	1	2	3	4	5
1.12	Overall, I am satisfied with my job at UCT.	1	2	3	4	5
1.13	People's thoughts about how things should be done at UCT are actively solicited and considered.	1	2	3	4	5
1.14	UCT staff are consulted before decisions are made that affect them.	1	2	3	4	5
1.15	Staff at UCT are trusted to make decisions without being constantly checked.	1	2	3	4	5
1.16	Suggestions for new ways of doing things are not given fair consideration.	1	2	3	4	5
1.17	The University management is effective in communicating important information to me.	1	2	3	4	5
1.18	There is regular and open communication amongst all staff at UCT.	1	2	3	4	5
1.19	I understand what UCT's long-term objectives are.	1	2	3	4	5
1.20	I understand how my role contributes to these objectives.	1	2	3	4	5
1.21	The University management does not give consistent messages about UCT's priorities.	1	2	3	4	5
1.22	I prefer to work at UCT rather than somewhere else.	1	2	3	4	5
1.23	Overall, I feel valued as an employee of the University.	1	2	3	4	5
1.24	I am treated with dignity and respect at UCT.	1	2	3	4	5
1.25	The work environment at UCT is not welcoming to me as an individual.	1	2	3	4	5

		Strongly Disagree				Strongly Agree
1.26	UCT recognises the need for balance between work responsibilities and personal life.	1	2	3	4	5
1.27	I feel a strong sense of belonging to UCT.	1	2	3	4	5
1.28	For me personally, the cost of leaving UCT would be far greater than the benefit.	1	2	3	4	5
1.29	I feel a sense of obligation to remain with UCT.	1	2	3	4	5
1.30	I have the equipment necessary to do my work well.	1	2	3	4	5
1.31	I receive the technical and other support necessary to do my work well.	1	2	3	4	5
1.32	I have adequate opportunities for training and development in my field.	1	2	3	4	5
1.33	People from all backgrounds are treated fairly at UCT.	1	2	3	4	5
1.34	I have not been treated differently because of my race, gender, sexual orientation, age or religion while I have worked at UCT.	1	2	3	4	5
1.35	Staff members of different race/ethnic groups are valued and respected equally at UCT.	1	2	3	4	5
1.36	Staff members of different genders are valued and respected equally at UCT.	1	2	3	4	5
1.37	Staff members of different religions are valued and respected equally at UCT.	1	2	3	4	5
1.38	Staff members of all ages are valued and respected equally at UCT.	1	2	3	4	5
1.39	Staff members of different sexual orientations are valued and respected equally at UCT.	1	2	3	4	5
1.40	Staff members with disabilities are valued and respected equally at UCT.	1	2	3	4	5
1.41	UCT's employment equity practices are fair.	1	2	3	4	5
1.42	I feel disadvantaged by UCT's promotions practices.	1	2	3	4	5
1.43	UCT does not do enough to attract staff from diverse backgrounds.	1	2	3	4	5
1.44	UCT's policies and practices are effective in retaining its staff.	1	2	3	4	5

1.45 In your view, to what extent is each of the following a *problem at UCT*? For the purposes of this questionnaire, *harassment* refers to unwanted attention or action against a person on the basis of their gender, race, sexual orientation, etc.; while *discrimination* refers to unfair treatment on the basis of gender, race, sexual orientation, etc. (Circle the appropriate number below for each item)

		No problem	Somewhat of a problem	Major problem	Do not know
a.	Sexual harassment_____	1	2	3	4
b.	Racial/ethnic harassment_____	1	2	3	4
c.	Harassment on the basis of sexual orientation_____	1	2	3	4
d.	Harassment on the basis of religious affiliation_____	1	2	3	4

		No problem	Somewhat of a problem	Major problem	Do not know
e.	Overly politicised climate	1	2	3	4
f.	Discrimination on the basis of social class	1	2	3	4
g.	Discrimination on the basis of gender	1	2	3	4
h.	Discrimination on the basis of race/ethnicity	1	2	3	4
i.	Discrimination on the basis of sexual orientation.	1	2	3	4
j.	Discrimination on the basis of religious affiliation	1	2	3	4
k.	Discrimination on the basis of physical or mental disability	1	2	3	4
l.	Discrimination on the basis of being a foreigner	1	2	3	4
m.	Lack of racial or ethnic diversity	1	2	3	4
n.	Dominance of English as medium of instruction/admin	1	2	3	4
o.	Cheating by students in academic work	1	2	3	4
p.	Unethical behaviour by academic staff	1	2	3	4
q.	Alcohol and drug abuse	1	2	3	4
r.	Physical threats/violence	1	2	3	4
s.	Stigma associated with HIV/AIDS	1	2	3	4
t.	Victimisation when speaking out or taking action on these or other isssues	1	2	3	4

1.46 During the last year, which of the following have *you personally experienced* at UCT? (Tick boxes for all that apply)

- ☐ Sexual harassment
- ☐ Racial harassment
- ☐ Harassment on the basis of sexual orientation
- ☐ Harassment on the basis of religious affiliation
- ☐ Discrimination on the basis of social class
- ☐ Discrimination on the basis of gender
- ☐ Discrimination on the basis of race/ethnicity
- ☐ Discrimination on the basis of sexual orientation
- ☐ Discrimination on the basis of religious affiliation
- ☐ Discrimination on the basis of physical or mental disabilities
- ☐ Discrimination on the basis of being a foreigner
- ☐ Victimisation when speaking out or taking action on these or other issues
- ☐ Other forms of harassment or discrimination: (specify) _____

1.47 Please tick ONE box that BEST reflects your response for EACH of the following initiatives at UCT.

Initiatives	I am not aware of this	I am aware of this	I have been involved and benefited	I have been involved and did not benefit
Khuluma				
Transformation Committees				
Employment Equity Initiatives				
Staff Development Programmes (offered through the HR Dept)				
HIV/AIDS Initiatives				
New Academic Practitioners' Programme				
Emerging Researchers' Programme				

Section 2: Experiences in relation to students

Based on your own experiences with students at UCT during the last year, please respond to each of the statements that are applicable to you in the table below. For each statement, indicate the extent to which you agree or disagree with the statement by selecting ONE of the numbers from 1 to 5 to the right of the statement.

		Strongly Disagree				Strongly Agree
2.1	Staff make themselves available to students who need advice and help.	1	2	3	4	5
2.2	Staff actively support the university's goal of increasing diversity of the student body.	1	2	3	4	5
2.3	Overall, the current student body arrived well prepared for the academic and social requirements of university education.	1	2	3	4	5
2.4	Irrespective of *my* gender, I feel respected and valued equally by students.	1	2	3	4	5
2.5	Irrespective of *my* race/ethnicity, I feel respected and valued equally by students.	1	2	3	4	5
2.6	I feel respected and valued by students, irrespective of *their* gender.	1	2	3	4	5
2.7	I feel respected and valued by students, irrespective of *their* race/ethnicity.	1	2	3	4	5
2.8	UCT staff provide high quality education to students.	1	2	3	4	5

Section 3: General Aspects

3.1 Please identify what you consider to be the THREE BEST aspects of working at UCT.

1. _____
2. _____
3 _____

3.2 Please identify what you consider to be the THREE WORST aspects of working at UCT.

1. _____
2. _____
3 _____

Section 4: Personal Information

4.1 Please state your gender. _____

4.2 What is your age in years? _____

4.3 How many years have you worked at UCT? _____

4.4 For the purpose of social redress, the Department of Labour uses the following in categorising employees at UCT. Please indicate the category that would best apply to you.

☐ Foreign national

☐ African ☐ Indian

☐ Coloured ☐ White

None of the above (please specify) _____

4.5 If called upon to describe yourself, which of the following would you choose?

- ☐ Foreign national – Africa
- ☐ Foreign national – other
- ☐ African
- ☐ Indian
- ☐ Coloured
- ☐ White

None of the above (please specify) _____

4.6 What is the main language spoken in your home?

- ☐ Afrikaans
- ☐ Tsonga
- ☐ English
- ☐ Tswana
- ☐ Ndebele
- ☐ Venda
- ☐ Northern Sotho
- ☐ Xhosa
- ☐ Sothern Sotho
- ☐ Zulu
- ☐ Swati
- ☐ None of the above (please specify)

_____

4.7 Do you have a permanent or long-term physical or mental disability?

☐ Yes ☐ No

If yes, please specify _____

4.8 Under which conditions of service are you employed? (Tick ONE box)

- ☐ Permanent
- ☐ T2 (contract of up to 3 years)
- ☐ T3 (open-ended contract)
- ☐ T1 (contract of 2 years or less)

4.9 What is your primary job role in UCT?

- ☐ Academic
- ☐ Senior Leadership Group (eg. DVC, Dean, or Executive Director)
- ☐ Head of academic department
- ☐ Head of PASS department
- ☐ Professional, administrative, service and support staff (PASS)
- ☐ Scientific and technical staff
- ☐ None of the above (please specify) _____

4.10 Within which faculty, department or group of departments are you employed?

- ☐ Communications & Marketing, Development & Alumni Depts
- ☐ Finance Department
- ☐ Human Resources Department
- ☐ Properties and Services
- ☐ Health Sciences Faculty
- ☐ Commerce Faculty
- ☐ Law Faculty
- ☐ EBE Faculty
- ☐ Science Faculty
- ☐ ICTS
- ☐ IAPO and Institutional Planning
- ☐ University Libraries
- ☐ VC, DVC and Registrar Office
- ☐ Dept of Student Affairs & Student Housing
- ☐ Research, Innovation & Postgraduate Funding Offices
- ☐ Humanities Faculty
- ☐ CHED
- ☐ GSB
- ☐ Baxter Theatre Centre

None of the above (please specify) _____

FOR PASS STAFF ONLY (ACADEMICS SKIP TO NEXT QUESTION)

4.11 What is your payclass?

- ☐ Payclass 1
- ☐ Payclass 2
- ☐ Payclass 3
- ☐ Payclass 4
- ☐ Payclass 5
- ☐ Payclass 6
- ☐ Payclass 7
- ☐ Payclass 8
- ☐ Payclass 9
- ☐ Payclass 10
- ☐ Payclass 11
- ☐ Payclass 12
- ☐ Payclass 13 +

FOR ACADEMICS ONLY

4.12 What is your rank?

- ☐ Assistant Lecturer
- ☐ Lecturer
- ☐ Senior Lecturer
- ☐ Associate Professor
- ☐ Professor
- ☐ Research Officer
- ☐ Senior Research Officer
- ☐ Principal Research Officer
- ☐ Chief Research Officer
- ☐ None of the above (please specify)

_____

Section 5: General Comments

5.1 I completed the 2003 Institutional Climate Survey.

☐ Yes ☐ No ☐ Uncertain

5.2 Are there any other issues that you would like to raise about your experience of working at UCT?

5.3 Have there been any significant changes at UCT in the last year which have influenced your experience of working here?

5.4 What do you think are the most important things that UCT leadership needs to address to improve your experience of working here?

5.5 Do you have any comments on the current survey?

Please check that you have completed all the questions.

Please return the completed questionaire, using the enclosed envelope, to Room 1.04, Staff Learning Centre, Cambria House, Middle Campus.

THANK YOU VERY MUCH FOR YOUR TIME, ENERGY AND COMMITMENT IN COMPLETING THIS CONFIDENTIAL SURVEY.

The AAMC-COACHE Medical Faculty Job Satisfaction Survey 2009 is prohibited from reproduction and is not included in this dissertation.

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